



STATE OF WASHINGTON
DEPARTMENT OF COMMUNITY,
TRADE AND ECONOMIC DEVELOPMENT

Community Development Block Grant Program

2006 Planning-Only Grant Application Handbook

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WASHINGTON STATE COMMUNITY DEVELOPMENT BLOCK GRANT PROGRAM 2006 PLANNING ONLY GRANT APPLICATION

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ESSENTIAL INFORMATION AND SUBMITTAL INSTRUCTIONS

- The Planning-Only Grant is a two-phase process, requiring applicants to submit a pre-application prior to submission of the general application.
- Read the entire application handbook for specific instructions and guidance on how to complete all application requirements.
- Following the review and approval of a jurisdiction's pre-application, an application is to be submitted within 60 days of receiving the formal invitation to apply letter. If the jurisdiction cannot meet the 60 day due date, they must contact CDBG Program staff to discuss any extenuating circumstances. See the Application Process Overview on page 5.
- Applications will be accepted and awarded throughout the year on a funds available basis. There are no due dates or designated application windows.
- An application will not be accepted until all parts are complete and federal threshold requirements, including a public hearing, are met.

Application Parts to Submit

1. Threshold documentation

- National Objective Worksheet and Documentation
- Community Data Summary Form
- Citizen Participation Documentation
- Resolution with Certifications of Compliance
- Disclosure Report
- Interlocal Agreement (if applicable)

2. Narrative

3. Work Plan

4. Budget

Please make print size at least a ten-point font so that the reviewers can read it without difficulty. Proposals should be letter-sized, typed, doubled-spaced, and stapled once in the upper left hand corner. Please do not use special covers or binders, or submit general letters of support or lengthy attachments.

How Many and Where to Send

Submit **ONE** original application and **ONE** copy to:

Laurie Dschaak, CDBG Program
Department of Community, Trade, and Economic Development
906 Columbia Street SW
Post Office Box 42525
Olympia, Washington 98504-2525

Use the application checklist on pages 33-34 to ensure that you have not omitted any of the required CDBG application materials.

Forms are available at <http://www.cted.wa.gov/cdbg>, or to receive application materials and forms via email or on diskette, contact Sarah Sweeney at (360) 725-3020 or sarahs@cted.wa.gov.

FAX transmitted or emailed proposals will not be accepted.

GENERAL APPLICATION INFORMATION

OVERVIEW

The goal of the CDBG Planning-Only Grant Program is to support eligible small communities and rural counties in carrying out planning activities that lead to the implementation of priority projects that principally benefit low- and moderate-income persons.

This application handbook contains the forms and information necessary to complete the application process once a formal invitation to apply has been received.

PROGRAM PURPOSE

The Washington State Community Development Block Grant (CDBG) Program is funded by the U.S. Department of Housing and Urban Development (HUD). All CDBG Planning-Only Grant projects must meet one of two following national objectives of the CDBG Program (Title I, Housing and Community Development Act of 1974, as amended):

National Objectives

- To principally benefit persons of low- and moderate-income.
- To prevent or eliminate slums or blight.

Program Priorities

In addition, the project must address one or more of the Planning-Only Grant program priorities:

- To address public health and safety issues.
- To improve essential services to low- and moderate-income persons.
- To complete a necessary step within a broader community development strategy.
- To assist communities in meeting planning requirements that will principally benefit low- and moderate-income persons.

ELIGIBLE APPLICANTS

- Eligible applicants are Washington State cities and towns with less than 50,000 in population or counties with less than 200,000 in population that are non-entitlement jurisdictions or are not participants in a HUD Urban County Entitlement Consortium (See appendix A for map).
- Non-profit organizations, Indian tribes, and special purpose organizations such as public housing authorities, port districts, community action agencies, and economic development councils, are not eligible to apply **directly** to the CDBG Program for funding. However, eligible jurisdictions may choose to serve Indian tribes within their jurisdiction or to involve the other organizations in the operation of projects funded under the program.
- Projects must principally benefit LMI persons. Low- and moderate-income is defined as 80 percent of county median income.

ELIGIBLE ACTIVITIES

CDBG Planning-Only Grants may be used for a variety of planning activities that meet a national objective, such as addressing the needs of LMI persons in the community. Eligible planning activities include activities that consist of all costs of data gathering, studies, analysis and preparation of plans, and the identification of actions that will implement the plans.

Activities can include:

- Comprehensive plans.
- Community development plans.
- Functional plans, in areas such as Housing, Land use and urban environmental design, and Economic development.
- Individual projects plans.
- Small area and neighborhood plans.
- Capital improvement programs.
- Environmental studies.

INELIGIBLE ACTIVITIES

In general, any type of activity not described in the reference above is ineligible for consideration. In addition, CDBG Planning-Only Grants may not be used to fund:

- General grant administration expenses.
- Engineering, architectural and design costs related to a specific construction activity.
- Actual blue prints.
- Direct development of an application to any of the CDBG program funds.
- Other costs of implementing plans. (These costs may be eligible for CDBG funding as part of a CDBG construction grant.)

FUNDING LEVELS

A fund of \$500,000 is available in 2006. Grants are available at an upper limit of \$35,000 for a single applicant or \$50,000 for a joint application involving two or more eligible jurisdictions that share a common planning need. **To receive an award at the upper limit all of the following criteria must be met:**

- The proposed project is to address a public health and safety issue.
- The proposed project is required by a regulatory agency (such as WA State Department of Health or Department of Ecology).
- The community is facing financial hardship in addressing the issue.
- Other funding has been considered (such as Public Works Trust Fund Loan).

If the above criteria are not met, the maximum amount available is \$24,000 for a single application or \$40,000 for two or more eligible jurisdictions.

Pre-applications are accepted and reviewed throughout the year, with awards made on a funds-available basis. To be considered for funding from the current program year, the jurisdiction must be invited to apply and the full application must be received by December 31st of that program year.

There is no match requirement; however, local contributions or leveraged funds from other sources are viewed favorably and general grant administration costs will not be reimbursed.

JOINT APPLICATIONS

When two or more eligible jurisdictions are located in the same region and share a common planning need, they are encouraged to seek cooperative solutions by preparing a joint application. An Interlocal Agreement, signed by each participating jurisdiction, must be submitted with the application, if an invitation to apply is extended. Jurisdictions considering a joint application for the higher funding level are encouraged to first contact the CDBG program to review eligibility, including:

- Whether all applying jurisdictions are non-entitlement jurisdictions and able to meet the federal threshold requirements.
- Whether the joint planning effort would be a significant increase in scope and cost from a single jurisdiction planning effort, requiring additional Planning-Only Grant funds.

RELATIONSHIP BETWEEN PLANNING-ONLY GRANTS AND OTHER CDBG FUNDS

An eligible jurisdiction can apply for more than one type of CDBG funding within the same year. However, a jurisdiction (including a jurisdiction participating in a multiple jurisdiction project) will not be awarded more than one Planning-Only Grant each year, so the planning project of highest priority should be submitted first. The required CDBG citizen participation requirements can assist with this local prioritization process.

A Planning-Only Grant cannot fund the direct development of another CDBG application, although some activities that could support a subsequent application are eligible for Planning-Only Grant funding. Receipt of a Planning-Only Grant *does not* guarantee that a related CDBG application will be funded.

MINIMUM PERFORMANCE STANDARDS

CTED reserves the right to deny applications that include the involvement of jurisdictions or organizations with serious unresolved audit findings.

CTED reserves the right to postpone project contracting or to deny funding if there is a significant problem with previous grantee performance. In such situations, the grantee is responsible for development and initiation of corrective action satisfactory to CTED. Upon request, CTED will provide technical assistance to the community to help ensure timely completion of approved project activities.

PRE-APPLICATION AND APPLICATION PROCESS OVERVIEW

PRE-APPLICATION PROCESS

1. Jurisdiction completes and submits pre-application form.



2. Pre-application passes or does not pass the CDBG screening process, including:

- Project addresses a program priority(s)
- Project meets a national objective
- Eligible applicant(s)
- Eligible planning activity(s)
- CDBG is the most appropriate funding source

Follow-up correspondence is made, if necessary.



3. CTED Resource Team reviews the request and considers technical and financial assistance options.



4. CDBG Program invites the jurisdiction to apply or alternative options are identified.



APPLICATION PROCESS

Application Process
YOU ARE HERE →

5. Jurisdiction submits an application within 60 days, including:

- Threshold documentation and certification of compliance
- Narrative
- Work Plan
- Budget



6. CDBG program reviews application to insure:

- Threshold requirements are met, including public hearing documentation and an Interlocal Agreement (for joint applications only).
- Narrative describes a compelling need, capacity to implement the project, readiness to proceed, and clear results if funded.
- Work Plan is thorough and well conceived, including relationship with subrecipients or consultants.
- Budget is reasonable and complete with appropriate leveraged resources.



7. Jurisdiction receives an award letter and begins the contracting process.

THRESHOLD REQUIREMENTS AND FORMS

All CDBG Planning-Only Grant applicants must meet CDBG threshold requirements and submit the appropriate documentation. An application checklist is located on pages 33-34.

Please note that the threshold requirements include conducting a public hearing, which must be scheduled early. While CDBG Planning-Only Grant and General Purpose Grant threshold requirements are very similar, do not assume completion of one grant's requirements will meet the other.

If you intend to submit a CDBG Planning-Only Grant application near the same time as another application for one of the other CDBG program funds, it is recommended to contact a CDBG staff person to discuss opportunities to coordinate your completion of the application requirements.

WARNING: Applicants often do not complete the threshold requirements correctly and risk the opportunity for funding. Read all instructions, complete the application checklist, and contact the Community Development Block Grant Program if additional clarification is needed. The threshold requirements cannot be completed after the application is submitted.

LOW- AND MODERATE-INCOME BENEFIT REQUIREMENTS

The Planning-Only Grant application must document how the proposed planning activity meets the CDBG national objective of principally benefiting low- and moderate-income persons. (An exception is if the plan meets the CDBG national objective of preventing or eliminating slums or blight.) Contact the CDBG program to discuss any issues facing your ability to document this benefit.

DOCUMENTATION TO SUBMIT WITH THE APPLICATION

The table on page 9 provides examples and instructions for documenting the benefit to low- and moderate-income persons. In summary:

- Complete and submit the National Objective Worksheet located on page 8.
- For **direct benefit** projects: Attach to the Worksheet a written description of the eligibility requirements or exclusive nature of the activity that limits the benefit to low- and moderate-income persons or members of an eligible special need group.
- For **area benefit** projects: Attach to the Worksheet either HUD's census data or income survey data. For communities that have experienced significant growth, as defined below, additional data may be required. See the explanation below.
- When an income survey is used, submit the following documentation of the survey process:
 1. A sample of the survey tool, tallying the number of responses by household size.
 2. A written description of the survey process, describing how the universe was defined and efforts to ensure randomness.
 3. The Income Survey Worksheet as outlined in Attachment 4 of the CDBG Community Survey Guide. A survey guide is available online at <http://www.cted.wa.gov/cdbg>.

NATIONAL OBJECTIVE WORKSHEET

Does my planning activity “principally benefit low- and moderate-income persons” OR “eliminate slums or blight” and how can I document it?

Complete and submit this worksheet to determine whether your proposed planning project meets a CDBG national objective for the Planning-Only Grant. It is not necessary or advantageous to address more than one national objective.

- A. For either National Objective: Briefly** describe the most likely future community development project that would be supported by the proposed planning project.

For example, a Housing Condition Survey could lead to the development of a Housing Rehabilitation Program for special needs and low- and moderate-income persons or a Water System Plan supports future system improvements for an entire low-income community.

- B.** Does the jurisdiction intend to use the results of this grant to support an application for future implementation?

- C. For either National Objective:** Describe the boundaries of the area to benefit by the proposed planning project.

- D. For Low- and Moderate-Income Benefit Objective:** Determine whether the project will provide an **area** or a **direct** benefit, using the instructions and examples described in the table on page 9. Based on the type of benefit selected, attach to this worksheet all necessary documentation, as described in the final column of the table.

Check the applicable type of benefit:

_____ **Area Benefit** _____ **Direct Benefit** to Low- and Moderate-Income Persons

A planning project generally provides either an area benefit only or a direct benefit only. It is possible, however, that a planning proposal includes both an activity which will provide an area benefit and an activity which will specifically provide a direct benefit. In this case, you must meet the documentation requirements for both area and direct benefit as described in the table on page 9.

- E. For Slums or Blight Objective:** The jurisdiction must attach to this worksheet a local resolution defining slums and blight that the planning project is designed to alleviate.

DOES MY PROJECT PROVIDE AN *AREA BENEFIT* OR A *DIRECT BENEFIT* TO LOW- AND MODERATE-INCOME PERSONS?

TYPE OF BENEFIT	DEFINITION	EXAMPLE	DOCUMENTATION REQUIREMENTS
AREA BENEFIT	<p>Area benefit activities meet the identified needs of all persons within a clearly defined target area or jurisdiction and at least 51 percent of the persons are low- and moderate-income.</p>	<ul style="list-style-type: none"> ▪ Comprehensive planning ▪ Studying the feasibility of a site development for general use ▪ Capital facility planning ▪ Assessing the needs of the general population ▪ Developing a Citizen Participation Strategy 	<ul style="list-style-type: none"> ▪ The boundaries of the target area. <p>This target area could be a city or county, or a defined area within or combining cities or counties. The boundaries of this target area must be consistent with the boundaries used to document household income levels (i.e. census tract.)</p> <ul style="list-style-type: none"> ▪ The percent of low- and moderate-income persons for the target area. <p>Acceptable income data sources include HUD's Census Data or a CDBG-approved income survey where at least 51 percent of the residents have low- and moderate-incomes.</p> <p><u>HUD's Census Data:</u> Listed in Appendix B are low- and moderate-income communities based on HUD's Census Data. If the target area is considered low income and is an unincorporated community or a smaller area within an incorporated community, contact the state CDBG program staff to determine whether it's eligible based on a smaller census designation.</p> <p><u>Income Survey:</u> If you have conducted or intend to conduct an income survey, contact the state CDBG program staff to receive approval of the survey methodology and response rate or to request a survey guide.</p>
DIRECT BENEFIT	<p>Direct benefit activities clearly focus on benefiting low- and moderate-income persons or members of eligible special groups, rather than all residents of a particular area.</p> <p>Eligible special groups:</p> <ul style="list-style-type: none"> ▪ Abused children ▪ Battered spouses ▪ Elderly persons ▪ Severely disabled adults (meeting Bureau of Census definition) ▪ Homeless persons ▪ Illiterate adults ▪ Persons living with AIDS ▪ Migrant farm workers 	<ul style="list-style-type: none"> ▪ Low-and moderate-income or special need housing strategies ▪ Studying the feasibility of a community facility that will focus on benefiting lower income or special need populations ▪ Business expansion assessments which would result in the creation or retention of jobs for lower income persons ▪ Self evaluation of handicap accessibility to public facilities and programs 	<ul style="list-style-type: none"> ▪ A description of the eligibility requirements or exclusive nature of the activity that limits the benefit to low- and moderate-income persons or members of an eligible special need group. ▪ For job creation or retention activities, describe how the potential project will ensure the jobs will be made available or provide first consideration to low- and moderate-income persons (for example, first source agreement with local Employment Security Office); and explain how jobs currently held by low- and moderate-income persons would be lost without assistance, if applicable. <p>Please contact CDBG Program staff to discuss alternatives if a project proposal appears to principally benefit low- and moderate-income persons or special groups but does not meet the documentation requirements.</p>

COMMUNITY DATA SUMMARY FORM

The Community Data Summary Form provides general demographic and financial information regarding the applicant jurisdiction and the project.

The information is used by the CDBG review team to analyze and compare similar projects.

GENERAL DEMOGRAPHICS

a. Population in jurisdiction.	
b. Population in the target area if smaller or larger than the jurisdiction (If a survey was conducted, Line 15 of the Income Survey Worksheet).	
c. Number of households in jurisdiction.	
d. Number of households in the target area if smaller or larger than the jurisdiction (If a survey was conducted, Line 1 of the Income Survey Worksheet).	
e. Total residents by ethnic breakdown:	
<div style="display: flex; justify-content: space-between;"> <div style="width: 45%;"> <div style="display: flex; align-items: center; margin-bottom: 5px;"> ▪ Hispanic <input style="width: 80px; height: 30px; border: 1px solid black;" type="text"/> </div> <div style="display: flex; align-items: center; margin-bottom: 5px;"> ▪ Non-Hispanic <input style="width: 80px; height: 30px; border: 1px solid black;" type="text"/> </div> </div> </div>	
f. Total residents by racial breakdown:	
<div style="display: flex; justify-content: space-between;"> <div style="width: 45%;"> <div style="display: flex; align-items: center; margin-bottom: 5px;"> ▪ White <input style="width: 80px; height: 30px; border: 1px solid black;" type="text"/> </div> <div style="display: flex; align-items: center; margin-bottom: 5px;"> ▪ Asian <input style="width: 80px; height: 30px; border: 1px solid black;" type="text"/> </div> <div style="display: flex; align-items: center; margin-bottom: 5px;"> ▪ Asian & White <input style="width: 80px; height: 30px; border: 1px solid black;" type="text"/> </div> <div style="display: flex; align-items: center;"> ▪ American Indian/Alaskan Native & Black/African American <input style="width: 80px; height: 30px; border: 1px solid black;" type="text"/> </div> </div> <div style="width: 45%;"> <div style="display: flex; align-items: center; margin-bottom: 5px;"> ▪ Black/African American <input style="width: 80px; height: 30px; border: 1px solid black;" type="text"/> </div> <div style="display: flex; align-items: center; margin-bottom: 5px;"> ▪ American Indian/Alaskan Native <input style="width: 80px; height: 30px; border: 1px solid black;" type="text"/> </div> <div style="display: flex; align-items: center; margin-bottom: 5px;"> ▪ Black/African American & White <input style="width: 80px; height: 30px; border: 1px solid black;" type="text"/> </div> <div style="display: flex; align-items: center;"> ▪ Other <input style="width: 80px; height: 30px; border: 1px solid black;" type="text"/> </div> </div> </div>	
g. Jurisdiction unemployment rate for the most current year from Washington State Employment Security Department at (360) 902-9670.	

Please provide these percentages as best as possible. If local surveys have not been conducted, data for some of these racial categories can be found by accessing the 2000 U.S. Census Bureau website at <http://www.factfinder.census.gov> and then following these directions:

- Enter the city/town or county and select **Washington State**. Hit **GO**.
- Scroll down to the **General Characteristics** heading and to where the data begins with the words **“one race”**.

Use the applicable numbers provided under the **Percent** column for each race category and for the Hispanic designation.

CITIZEN PARTICIPATION REQUIREMENTS

To apply for CDBG funds, a jurisdiction must show it has involved its citizens in the CDBG application process and complied with the specific federal citizen participation requirements outlined in 24 CFR 570.486. These regulations are provided in the sample handout on page 20. The purpose of these citizen participation activities is to inform the residents and the decision-makers of the availability of CDBG funds and to provide residents the opportunity (especially low- and moderate-income persons) to present potential projects and input on proposed projects.

If a jurisdiction intends to apply for more than one type of CDBG grant during the same year, it is advisable to contact the CDBG office to discuss how to coordinate these citizen participation and public hearing requirements.

SUMMARY

The minimum citizen participation requirements for the submission of a CDBG application are:

1. Conduct at least one public hearing prior to submission of the CDBG application. This hearing must be held at a convenient time and location to encourage citizen participation.
2. Publish an official announcement of the hearing, providing reasonable advance notice. A sample public hearing notice with required language is provided on page 17.
3. Distribute information on the availability of CDBG funds and the eligible uses at the public hearing. A sample fact sheet is provided on pages 18-19. The hearing minutes must reflect that these handouts were distributed at the public hearing.
4. Review local demographic data to determine if it is reasonable to expect a significant number of non-English speaking residents to participate in the public hearing, and advertise and conduct the public hearing in accordance with this determination. Detailed guidance on providing and documenting outreach and accommodation for non-English speaking residents is provided on pages 15-16.
5. Adopt a grievance procedure for the use of CDBG funds. A sample grievance procedure is provided on page 24.
6. Document that the notice was published and the hearing was held. A documentation checklist follows.

Required citizen participation documentation to be submitted with the application:

- A copy of the public hearing minutes, including a statement that the CDBG required handouts were distributed.
- A copy of the affidavit of publication or a copy of the actual public hearing notice from the newspaper.
- The Outreach and Accommodation for Non-English Speaking Residents form, documenting the review and determination of local data on non-English speaking populations, the list of outreach steps (if applicable) and accommodations made.
- A copy of the jurisdiction's adopted Grievance Procedure.

See the following pages for more important information on these requirements.

DETAILED INFORMATION ON THE REQUIREMENTS

1. Public Hearing Logistics

What is a public hearing? – A public hearing is a meeting of a governmental body during which the public is invited to the council or board of county commissioners, who will primarily listen and receive public input. A public hearing may be held as part of a regularly scheduled public meeting where official decisions may then be made or where it is elected to make a decision at a subsequent meeting.

Who must conduct the hearing? – The applicant city, town or county. Although some applications are developed by other community organizations or special districts, these organizations cannot conduct the hearing and have it meet CDBG requirements.

When must the hearing be held? – Prior to submission of the CDBG application and within 18 months of the application submittal date.

Where must the hearing be held? – The hearing location must be accessible to persons of disability. The location must also be convenient for persons likely impacted by the proposed project. This is particularly relevant for a county proposing a project in a community that is far from the county seat.

2. Public Hearing Notice

When must the advance notice be made? – Generally, a legal notice is published at least one week prior to the hearing date. The notice must meet the local public hearing notice requirements.

Where must the notice be made? – The hearing must be well-advertised, generally in the official local paper. In addition, public notice can be made using community bulletin boards, local newsletters, billing statements, newspaper articles or door-to-door distribution. Residents within those areas in which CDBG funds are proposed to be used, especially the low- and moderate-income persons, should be encouraged to attend or provide comment.

What must the notice say? – A sample notice is provided on page 17.

3. Public Hearing Purpose

What must the CDBG hearing cover? – The hearing is to obtain citizens' views and respond to proposals and questions. It must cover community development and housing needs and the availability of CDBG funds. The CDBG Program handout materials are to be distributed. Additional handout materials describing the proposed project(s) are advisable. A copy of the handout information in Spanish is provided on pages 21-23. A copy in English can be found on pages 18-20.

4. Meeting the Needs of Non-English Speaking Residents

All applicants must complete the Outreach and Accommodation Form on pages 15-16. This form provides guidance on meeting this requirement, lists potential outreach steps

and accommodations and outlines how to document the efforts. The CDBG public hearing should not be advertised or conducted without first ensuring appropriate outreach and accommodations are accomplished.

The federal regulations on page 20, (paragraph 5), state that "public hearings shall be conducted in a manner to meet the needs of non-English speaking residents where a significant number of non-English speaking residents can reasonably be expected to participate." The applicant jurisdiction must review local demographic data and consider the potential impacts of the proposed project to determine the appropriate outreach steps and accommodations to meet the needs of non-English speaking residents.

Data on the number and percent of non-English speaking residents in a jurisdiction can be found by accessing the 2000 Census website at <http://www.factfinder.census.gov> and then following these directions:

- Enter the city/town or country and select **Washington State** and hit **GO**.
- Scroll down to **Social Characteristics** heading and select show more.
- Scroll down to nearly the bottom of the table to the **LANGUAGE SPOKEN AT HOME** heading and identify the other languages spoken, such as Spanish.
- Under the predominant other language spoken, look for the percentage of the population that speaks English less than "very well."
- Use these percentages to determine whether specific outreach or additional accommodations are necessary to meet the needs and encourage participation from non-English speaking residents.

Contact the CDBG office for assistance in accessing and interpreting this data.

5. Grievance Procedure

What must the procedure do? – The grievance procedure must provide citizens the address, phone number, and times for submitting complaints and grievances, and provide timely written answers to written complaints and grievances within 15 working days where practicable. A sample grievance procedure to be adopted is provided on page 24.

√ **NOTE: If funded**, an additional public hearing will be required towards the end of the project to review and receive comments on the project's performance. This final public hearing should be included in your proposal's Work Plan. Also if funded, a public hearing would be required if activities are proposed to be added, deleted or substantially changed from the original proposal.

CITIZEN PARTICIPATION FORMS AND SAMPLE DOCUMENTS

See the following pages for assistance in meeting these requirements →

√ **HELPFUL HINT:** Plan for the required initial public hearing NOW! Decide the hearing date and then work backward to determine when and how the public announcement must be published to allow sufficient notice time and outreach.

OUTREACH AND ACCOMMODATION FOR NON-ENGLISH SPEAKING RESIDENTS FORM

This form documents the applicant jurisdiction's determination whether additional public hearing outreach and accommodations for local non-English speaking residents are required and lists the outreach steps and accommodations provided. The federal regulations on page 20, (paragraph 5) state that "public hearings shall be conducted in a manner to meet the needs of non-English speaking residents where a significant number of non-English speaking residents can reasonably be expected to participate." The CDBG program benefits low- and moderate-income persons and strongly encourages a jurisdiction to make efforts to receive input on community needs from minority populations. To meet the CDBG requirements for outreach and accommodation for non-English speaking residents, the jurisdiction must:

- Complete and submit this form with the application.
- Properly advertise the public hearing (see the sample public hearing notice's accommodation clause options) and submit a copy of the notice with the application.
- Follow the public hearing notice and provide any necessary accommodations at the public hearing.

Significant Population - General guidance is if 2000 Census data show that more than 10 percent of the jurisdiction's population speaks English less than "very well" or if more than 10 percent of the project's targeted population speak English less than "very well," then it is reasonable to expect and encourage a significant number of non-English speaking residents to participate. In such cases, special outreach and accommodations are recommended to inform this population of the opportunity to receive information on the CDBG program and input on the proposed project (see B and D below).

OUTREACH - Complete either A or B, as applicable.

A. To document that targeted outreach to non-English speaking residents was NOT necessary, check the box and provide any additional explanation:

- ☐ Data on local non-English speaking populations, including 2000 Census Data, demonstrate that it is NOT reasonable to expect a significant number of non-English speaking residents to attend the CDBG application public hearing. See page 14 for assistance on accessing 2000 Census Data.

Explain below any local circumstances that contribute to your interpretation of the data:

If you were able to check the A box above, you can skip B and complete C

B. To document the outreach steps taken when it was expected non-English speaking residents would participate in the public hearing, check the boxes that apply:

- ☐ The CDBG public hearing notice was advertised in an alternate language.
- ☐ The CDBG public hearing was announced on an alternate language radio or television station.
- ☐ The CDBG public hearing notice in an alternate language was posted in advance at the following locations to target the non-English speaking population:

Location

Date Posted

- ☐ Members of organizations and advocacy groups representing non-English speaking populations were invited to attend the CDBG public hearing.
- ☐ Leaders and interested parties from the minority community were directly invited to attend the CDBG public hearing.
- ☐ Other:

ACCOMMODATIONS - Complete either C or D, as applicable.

C. For jurisdictions where it was determined a significant number of non-English speaking residents were NOT expected to participate (if the A box is checked above), the following minimum accommodation was made available:

- ☐ The CDBG public hearing notice states that arrangements to reasonably accommodate the needs of special classes of citizens, including handicap accessibility or interpreter, will be made upon advance notice request. **Submit** a copy of the affidavit of publication or a copy of the actual notice from the paper to document.

D. For jurisdictions where a significant number of non-English speaking residents were expected to participate, (if the B box is checked above) the following accommodations were all made:

- ☐ The CDBG public hearing notices state that an interpreter will be available (*even without advance request*). **Submit** a copy of the affidavit of publication or a copy of the actual notice from the paper; and
- ☐ CDBG public hearing handouts were available in the alternate language at the public hearing. Sample handouts in Spanish are available on pages 21-23.
- ☐ Other:

(PLANNING-ONLY GRANT VERSION)

Additional information can be added to these required clauses to meet specific local announcement needs and to encourage participation.

If a jurisdiction intends to apply for more than one type of CDBG grant during the same year, it is advisable to contact the CDBG office to discuss how to coordinate these citizen participation and public hearing requirements.

Where/When: NOTICE IS HEREBY GIVEN that a public hearing will be held by the (*city council/county board of commissioners*) in the (*council chambers/hearing room*), (*location*), on (*date and time*).

Basic Clause: The purpose of the public hearing is to review community development and housing needs, inform citizens of the availability of funds and eligible uses of the state Community Development Block Grant (CDBG), and receive comments on proposed activities, particularly from low- and moderate-income persons and persons residing in the (*name of area*) area.

Clause describing the availability of funds and eligible uses: Up to \$35,000 for a single jurisdiction or \$50,000 for a multiple jurisdiction project may be available to the (*city/county*) to fund a planning project that principally benefits low- and moderate-income persons.

Comment clause: The draft application for the (*project name*) proposal will be available for review at the (*location – government office and/or library*), (*time and date*). Comments may also be submitted in writing to (*city/county*), (*time period*).

Accommodation clause:

For applicants who checked box C in the Outreach and Accommodation Form. The (*council chambers/hearing room*) is handicap accessible. Arrangements to reasonably accommodate the special needs, including handicap accessibility or interpreter, will be made upon receiving twenty-four (24) hour advance notice. Contact (*name*) at (*number, location*).

OR

For applicants who checked box D in the Outreach and Accommodation Form. A (insert alternative language) interpreter will be available. The (*council chambers/hearing room*) is handicap accessible. Additional arrangements to reasonably accommodate special needs will be made upon receiving twenty-four (24) hours advance notice. Contact (*name*) at (*number, location*).



washington state department of
community, trade and economic development

Community Development Block Grant

Local Government Division

For More Information

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Leona Moon
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Introduction

The Washington State Community Development Block Grant (CDBG) Program provides funds on a competitive basis for housing, infrastructure, and community facilities, economic development, and planning projects that principally benefit low- and moderate-income households.

The Washington State CDBG Program is funded by the U.S. Department of Housing and Urban Development (HUD). The purpose of the state CDBG Program is to improve and maintain the environment of eligible, non-entitlement cities and counties in order to enhance the quality of life for low- and moderate-income (LMI) residents and, as a result, benefit the entire community.

Funds Available

For 2006 it is anticipated that approximately \$15.9 million in federal funds will be awarded to Washington State. It is proposed that funds be distributed as follows:

- **General Purpose Grant** **\$ 7,000,000**
 Contact: Bill Prentice
 Annual grant cycle during which eligible applicants may request up to \$1,000,000 per application for housing, infrastructure, community facilities, or economic development/microenterprise projects principally benefiting low- and moderate-income persons. The application due date for the 2006 grant cycle is November 17, 2005, with awards announced mid-March 2006.
- **Community Investment Fund Grant** **\$ 4,107,728**
 Contact: Dan Riebli
 Provides technical and financial assistance to eligible communities of up to \$1,000,000 per application throughout the year on a funds available basis for housing, infrastructure, community facilities, or economic development/microenterprise projects identified through a local prioritization process. Assistance is coordinated with the department's Resource Team.
- **Planning-Only Grant** **\$ 500,000**
 Contact: Sheila Lee-Johnston
 Provides funds to eligible communities on a funds available basis for a wide range of planning activities that address public health and safety issues; improve essential services to low- and moderate-income individuals; complete a necessary and specific step within a broader community development strategy; or meet a planning requirement that will principally benefit LMI persons. Grants of up to \$35,000 are available, based on type of project. Multiple jurisdictions may request up to \$50,000.

- **Imminent Threat Grant** **\$ 166,000**
 Contact: Bill Prentice
 Provides funds to address unique emergencies posing a serious and immediate threat to public health and safety on a funds availability basis. Upon formal Declaration of Emergency, costs can be covered for a temporary repair or solution while funding for a permanent fix is secured.
- **Housing Enhancement Grant** **\$ 800,000**
 Contact: Sharon Robinson
 Companion funds to support priority applications submitted to the Washington State Housing Trust Fund.
- **Housing Rehabilitation Grant** **\$ 1,100,000**
 Contact: Dan Riebli
 Funds to support local housing rehabilitation activities. Grants of up to \$500,000 can be awarded annually.
- **Public Services Grant** **\$ 1,660,720**
 Contact: Kaaren Roe
 Grants made available through counties to community action agencies serving non-entitlement areas for activities serving low- and moderate-income people. Funding provided by formula and administration coordinated with the state Community Services Block Grant Program.
- **Administrative One Percent Set-aside for Technical Assistance**
 One percent of the state's annual allocation of CDBG funding is used to provide technical assistance to CDBG eligible jurisdictions.
- **Business Loan Portfolio**
 Contact: Dan Riebli
 Four types of block grant lending instruments are currently used in Washington to assist business:

 - CDBG Float-Funded Activity Program
 - Loans from the Rural Washington Loan Fund
 - HUD Section 108 Guarantee Loans
 - Regional Microenterprise Development Grants

Eligibility Guidelines

- Eligible applicants are Washington State cities and towns with less than 50,000 in population or counties with less than 200,000 in population that are non-entitlement jurisdictions or are not participants in a HUD Urban County Entitlement Consortium.
- Non-profit organizations, Indian tribes, and special purpose organizations such as public housing authorities, port districts, community action agencies, and economic development councils, are not eligible to apply directly to the CDBG Program for funding. However, eligible jurisdictions may choose to serve Indian tribes within their jurisdiction or to involve the other organizations in the operation of projects funded under the program.
- Projects must principally benefit low- and moderate-income persons. Low- and moderate-income is defined as 80 percent of county median income.
- Applicants may submit one request per fund each program year.

Federal Citizen Participation Requirements for Local Government Applicants to the State CDBG Program

Federal Regulations 24 CFR 570.486 (a)

- (a) *Citizen participation requirements of a unit of general local government.* Each unit of general local government shall meet the following requirements as required by the state at Sec. 91.115(e) of this title.
- (1) Provide for and encourage citizen participation, particularly by low and moderate income persons who reside in slum or blighted areas and areas in which CDBG funds are proposed to be used;
 - (2) Ensure that citizens will be given reasonable and timely access to local meetings, information, and records relating to the unit of local government's proposed and actual use of CDBG funds;
 - (3) Furnish citizens information, including but not limited to:
 - (i) The amount of CDBG funds expected to be made available for the current fiscal year (including the grant and anticipated program income);
 - (ii) The range of activities that may be undertaken with the CDBG funds;
 - (iii) The estimated amount of the CDBG funds proposed to be used for activities that will meet the national objective of benefit to low and moderate income persons; and
 - (iv) The proposed CDBG activities likely to result in displacement and the unit of general local government's anti-displacement and relocation plans required under Sec. 570.488.
 - (4) Provide technical assistance to groups representative of persons of low and moderate income that request assistance in developing proposals in accordance with the procedures developed by the state. Such assistance need not include providing funds to such groups;
 - (5) Provide for a minimum of two public hearings, each at a different stage of the program, for the purpose of obtaining citizens' views and responding to proposals and questions. Together the hearings must cover community development and housing needs, development of proposed activities and a review of program performance. The public hearings to cover community development and housing needs must be held before submission of an application to the state. There must be reasonable notice of the hearings and they must be held at times and locations convenient to potential or actual beneficiaries, with accommodations for the handicapped. Public hearings shall be conducted in a manner to meet the needs of non-English speaking residents where a significant number of non-English speaking residents can reasonably be expected to participate;
 - (6) Provide citizens with reasonable advance notice of, and opportunity to comment on, proposed activities in an application to the state and, for grants already made, activities which are proposed to be added, deleted or substantially changed from the unit of general local government's application to the state. **Substantially changed** means changes made in terms of purpose, scope, location or beneficiaries as defined by criteria established by the state.
 - (7) Provide citizens the address, phone number, and times for submitting complaints and grievances, and provide timely written answers to written complaints and grievances, within 15 working days where practicable.



Subvención Global Para Desarrollo Comunitario

División de Gobierno Local

Para mas información

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Introducción:

El programa de Subvención Global para Desarrollo Comunitario del Estado de Washington (CDBG) proporciona fondos sobre una base competitiva para vivienda local, instalaciones públicas y comunitarias, desarrollo económico y proyectos de planificación que benefician principalmente a los hogares de ingresos bajos y moderados.

Los fondos para el programa CDBG del Estado de Washington son despendidos por el Departamento de Viviendas y Desarrollo Urbano de los Estados Unidos. El Programa de Subvención para el Desarrollo Comunitario (CDBG) de estado de Washington esta deseando para financiar hogares locales, albergues públicos, desarrollos económicos y desarrollar proyectos cuyo **propósito** principal es beneficiar a las familias de bajos y moderados recursos económicos. Esto resultar en un beneficio para toda la comunidad.

Fondos Disponibles

Históricamente, se han distribuido aproximadamente \$15.9 millones en fondos federales sobre una base anual, a través de los siguientes propuesto fondos de concesión:

- **Concesión de Propósito General** **\$7,000,000**
Contacto: Bill Prentice
Ciclo de concesión anual durante el cual los solicitantes elegibles pueden pedir hasta \$1,000,000 por solicitud para proyectos de vivienda local, instalaciones públicas, instalaciones de la comunidad, o de desarrollo económico/microempresas, principalmente en beneficio de personas de ingresos bajos y moderados. La fecha de vencimiento para el ciclo de concesión de 2006 es el 17 de noviembre de 2005, con anuncio de la decisión en el medio de Marzo 2006.
- **Concesión de Fondos de Inversión de la Comunidad** **\$4,107,728**
Contacto: Dan Riebli
Proporciona ayuda técnica y financiera a comunidades elegibles de arriba a \$1,000,000 por la aplicación a través del año en un fondos la base disponible para la comunidad y proyectos económicos de desarrollo identificó por un proceso local de la priorización. La ayuda se coordina con el Equipo del Recurso del departamento.
- **Concesión para Planificación Solamente** **\$ 500,000**
Contacto: Sheila Lee-Johnston
Las Concesiones para Planificación Solamente se proporcionan a las comunidades elegibles sobre una base de disponibilidad de fondos, para una gama amplia de actividades de planificación dirigidas hacia la salud pública y asuntos de seguridad; para responder a los mandatos estatales y federales; para mejorar servicios esenciales para individuos de ingresos bajos y moderados; o, para completar los pasos necesarios dentro de una estrategia de desarrollo comunitario más amplia. Se encuentran disponibles concesiones de hasta \$35,000. El consorcio de solicitantes elegibles puede solicitar hasta \$50,000.

- **Concesión de Amenaza Inminente** **\$ 166,000**
 Contacto: Bill Prentice
 Fondos para cubrir emergencias únicas que representan una amenaza seria e inmediata a la salud y la seguridad pública, sobre una base de disponibilidad de fondos. Tan pronto que la declaración de emergencia es en debida formal, los fondos se encuentran disponibles para concesiones suplementarias a los contratos existentes.
- **Concesión para Mejora de la Vivienda** **\$ 800,000**
 Contacto: Sharon Robinson
 Fondos acompañantes en apoyo de las solicitudes de prioridad presentadas ante el Fondo de Vivienda del Estado de Washington (Washington State Trust Fund.)
- **Concesión para Revitalizar Vecindarios** **\$1,100,000**
 Contacto: Dan Riebli
 Fondos para ayudar vecindarios revitalizar viviendas local. Se encuentra disponibles concesiones de hasta \$500,000.
- **Concesión para Servicios Públicos** **\$1,660,720**
 Contacto: Kaaren Roe
 Las concesiones se hacen disponibles a través de los condados a agencias de acción comunitaria que sirven a áreas que no reciben asistencia financiera directa para actividades que sirven a las personas de ingresos bajos y moderados. El financiamiento se proporciona por fórmula y administración coordinadas por el Programa Estatal de Subvención Global para Desarrollo Comunitario.
- **Portafolio de Empréstito Comercial**
 Contacto: Dan Riebli
 Actualmente, se utilizan en Washington cuatro tipos de préstamos de subvención global para ayudar a los negocios:

 - Préstamos Flotantes
 - Los préstamos del Fondo Rural de Préstamos de Washington
 - Garantía de Préstamos bajo la Sección 108, por medio de HUD.
 - Concesiones para el desarrollo microempresa regional.

Guía de Elegibles

- Los solicitantes elegibles son ciudades y pueblos del estado de Washington con poblaciones menores de 50,000 o condados con poblaciones menores de 200,000 que son jurisdicciones que no reciben asistencia financiera directa o no son participantes en un Consorcio de Asistencia Financiera Directa del Condado Urbano de HUD.
- Naciones indias y organizaciones con propósitos especiales, tales como autoridades de hogares públicos, estritos portuarios, agencias de acción a la comunidad y consejos de desarrollo económico, no califican para solicitar directamente financiamiento al Programa de CDBG. Sin embargo, jurisdicciones que si califiquen pueden optar por incluir naciones indias o otras organizaciones en actividades financiadas por una subvención.
- Los proyectos deben beneficiar principalmente a las personas de ingresos bajos –y moderados-. Los ingresos bajos -y moderados- están definidos como 80 por ciento del ingreso medio del condado.
- Los solicitantes pueden presentar una solicitud en cada ciclo del financiamiento.

**Requisitos de Participación Ciudadana Federal
Para Solicitantes del Gobierno Local al Programa de CDBG**

Regulación Federal 24 CFR 570.486(a)

(a) *Requisitos de participación ciudadana de una unidad general del gobierno local.* Cada unidad general del gobierno local, debe cumplir los siguientes requisitos como es solicitado por el estado, en el Sec. 91.115(e) de este artículo.

- (1) Contribuir y motivar a la participación ciudadana, particularmente en personas de recursos bajos y moderados quienes residen en condiciones precarias o áreas insalubres y áreas donde el Programa de CDBG tiene como objetivo apoyar con financiamiento;
- (2) Asegurar que los ciudadanos tengan acceso oportuno y suficiente a reuniones locales, información y estadísticas relacionadas a la unidad de gobierno local que ha sido propuesta o que utiliza los fondos de financiamiento del programa de CDBG;
- (3) Proveer información a los ciudadanos, incluyendo:
 - i. La cantidad de financiamientos del de CDBG que se espera sea otorgada en el año fiscal en curso (incluyendo las subvenciones y los ingresos anticipados del programa);
 - ii. El tipo de actividades probables a llevarse a cabo con el financiamiento del de CDBG;
 - iii. La cantidad estimada de financiamientos del de CDBG propuesta para ser usada en actividades que cumplirán con el objetivó nacional de beneficiar a personas de bajos recursos económicos; y
 - iv. Las actividades propuestas del programa de CDBG que son probables de resultar declinadas y la unidad general de gobierno y los planes de reemplazo requeridos bajo el Sec. 570.488
- (4) Proveer asistencia técnica a grupos representativos de personas de bajos y moderados recursos que soliciten ayuda en el desarrollo de sus propuestas de acuerdo con el procedimiento desarrollado por el estado. Dicha asistencia no incluye proveer financiamiento a tales grupos;
- (5) Participar en un mínimo de dos audiencias públicas, cada una en diferentes etapas del programa, con el propósito de obtener puntos de vista de los ciudadanos y responder a propuestas y preguntas. La audiencia en conjunto debe cubrir las necesidades de casa y desarrollo en la comunidad, desarrollo de actividades propuestas y la revisión del cumplimiento del programa. La audiencia pública que cubre el desarrollo de la comunidad y las necesidades de casa debe ser llevada a cabo en la fecha y lugares convenientes a beneficiarios actuales a potenciales, con lugares accesibles para discapacitados. Las audiencias publicas deben llevarse a cabo de cierta forma que cumplan las necesidades de residentes que no hablen Inglés ya que se espera que un numero razonable de estos participe en el programa.
- (6) Informar a los ciudadanos con suficiente anticipación, y oportunidad de comentar al respecto, sobre actividades propuestas en solicitud al estado y, por subvenciones ya efectuados, actividades que sean propuestas para agregarse, eliminarse a ser cambiadas substancialmente de la solicitud de unidad general de gobiernos locales al estado. **Cambiadas substancialmente** significa que los cambios sean en términos de objetivó, alcance, lugar o beneficiario, como es definido bajo el criterio establecido por el estado.
- (7) Proveer a los ciudadanos la dirección, el teléfono y las fechas y horario para entregar quejas y objeciones, y proveer oportunas respuestas por escrito a quejas entregadas por escrito, dentro de los primeros 15 días hábiles, cuando así pueda aplicarse.

SAMPLE GRIEVANCE PROCEDURE

This grievance procedure is intended to serve as a guide and should be revised to reflect local circumstances and to incorporate any applicable state or local laws.

1. Submit complaints in writing to the designated official (such as the city manager, city/county clerk, or county executive) for resolution. A record of the complaints and action taken will be maintained. A decision by the designated official will be rendered within 15 working days.
 2. If the complaint cannot be resolved to your satisfaction by the designated official,
 - It will be forwarded to a committee appointed by the governing body. This committee's membership, its ground rules or procedures for hearing complaints, and how the committee can be contacted will be available to the public. The committee will be directed to hear such complaints in an objective, public manner, and after adequate public notice. A written decision will be made within 30 working days. Proceeding of the committee will be recorded and maintained.
- OR
- The complaint will be heard and discussed by the governing, elected body at an open, public meeting. A written decision will be made within 30 working days. The decision of the governing body is final.
3. A record of action taken on each complaint will be maintained as a part of the records or minutes at each level of the grievance process.

Adopted this _____ day of _____, 200__.

(Signature of Chief Administrative Officer)

(Title)

Attest: _____

CDBG PLANNING-ONLY GRANT SAMPLE RESOLUTION WITH CERTIFICATIONS OF COMPLIANCE

WHEREAS, (Name of city, town, or county) is applying to the state Department of Community, Trade and Economic Development for funding assistance;

WHEREAS, it is necessary that certain conditions be met as part of the application requirements;

WHEREAS, (Name of Chief Administrative Official and title) is authorized to submit this application to the state of Washington on behalf of (Name of city, town, or county);

NOW, THEREFORE, be it resolved that the (Name of city, town, or county) authorizes submission of this application to the Washington State Department of Community, Trade and Economic Development to request \$ (amount of funding requested) to (planning project description), and certifies that, if funded, it:

Will comply with applicable provision of Title I of the Housing and Community Development Act of 1974, as amended, and other applicable state and federal laws;

Has provided opportunities for citizen participation comparable to the state's requirements (those described in Section 104(a)(2)(3) of the Housing and Community Development Act of 1974, as amended); has complied with all public hearing requirements and provided citizens, especially low- and moderate-income persons, with reasonable advance notice of, and the opportunity to present their views during the assessment of community development and housing needs during the review of available funding and eligible activities, and on the proposed activities;

Has provided technical assistance to citizens and groups representative of low- and moderate-income persons that request assistance in developing proposals;

Will provide opportunities for citizens to review and comment on proposed changes in the funded project and program performance;

Will not use assessments against properties owned and occupied by low- and moderate-income persons or charge user fees to recover the capital costs of CDBG-funded public improvements from low- and moderate-income owner-occupants;

Will establish a plan to minimize displacement as a result of activities assisted with CDBG funds; and assist persons actually displaced as a result of such activities, as provided in the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970, as amended;

Will conduct and administer its program in conformance with Title VI of the Civil Rights Act of 1964 and the Fair Housing Act, and will affirmatively further fair housing, (Title VIII of the Civil Rights Act of 1968);

Has adopted or will adopt and enforce a policy prohibiting the use of excessive force by law enforcement agencies within its jurisdiction against any individuals engaged in nonviolent civil rights demonstration; and has adopted or will adopt and implement a policy of enforcing applicable state and local laws against physically barring entrance to or exit from a facility or location which is the subject of such nonviolent civil rights demonstration within its jurisdiction, in accordance with Section 104(1) of the Title I of the Housing and Community Development Act of 1974, as amended; and

Will provide, upon request, and prior to any obligation of funds being made, a complete and accurate CDBG Federal Funds Disclosure Report detailing the required applicant/grantee information and, as appropriate, other government assistance provided or applied for, interested parties and expected sources, and uses of funds.

(Name of city, town, or county) designates (name of city manager, county administrator, mayor) as the authorized Chief Administrative Official and authorized representative to act in all official matters in connection with this application and (Name of city, town, or county)'s participation in the Washington State CDBG Program.

Signature _____ Date _____

Name _____

Title _____

Attested _____ Date _____

INSTRUCTIONS FOR THE RESOLUTION WITH CERTIFICATIONS OF COMPLIANCE

The applicant's local legislative body must pass a resolution authorizing the chief administrative official to submit the CDBG application to CTED and certifying compliance with state and federal laws and specific program requirements. See Appendix D for a summary of these federal and state regulations.

A certification of compliance for a previous CDBG application will not be accepted.

Retype the sample resolution provided on page 25, inserting local and project specific information as indicated. This resolution may be reformatted to meet the jurisdiction's requirements for official resolutions.

The resolution must be signed by the authorized chief administrative official and a signed copy must be included with the application. The chief administrative official is the mayor, county commission chair, county administrator or city manager.

For joint Planning-Only Grant applications, each participating jurisdiction must adopt this certification of compliance, unless an eligible subrecipient is being utilized to represent the multiple jurisdictions. Contact the CDBG program for further clarification on joint applications.

Applicant/Recipient Disclosure/Update Report

U.S. Department of Housing
and Urban Development

OMB Approval No. 2510-0011 (exp. 12/31/2006)

Instructions. (See Public Reporting Statement and Privacy Act Statement and detailed instructions on page 2.)

Applicant/Recipient Information

Indicate whether this is an Initial Report ☐ or an Update Report ☐

1. Applicant/Recipient Name, Address, and Phone (include area code):

() -

2. Social Security Number or
Employer ID Number:

- -

3. HUD Program Name

4. Amount of HUD Assistance
Requested/Received

5. State the name and location (street address, City and State) of the project or activity:

Part I Threshold Determinations

1. Are you applying for assistance for a specific project or activity? These terms do not include formula grants, such as public housing operating subsidy or CDBG block grants. (For further information see 24 CFR Sec. 4.3).

☒ Yes ☐ No

2. Have you received or do you expect to receive assistance within the jurisdiction of the Department (HUD), involving the project or activity in this application, in excess of \$200,000 during this fiscal year (Oct. 1 - Sep. 30)? For further information, see 24 CFR Sec. 4.9

☐ Yes ☐ No.

If you answered "**No**" to either question 1 or 2, **Stop!** You do not need to complete the remainder of this form. **However**, you must sign the certification at the end of the report.

Part II Other Government Assistance Provided or Requested / Expected Sources and Use of Funds.

Such assistance includes, but is not limited to, any grant, loan, subsidy, guarantee, insurance, payment, credit, or tax benefit.

Department/State/Local Agency Name and Address	Type of Assistance	Amount Requested/Provided	Expected Uses of the Funds

(Note: Use Additional pages if necessary.)

Part III Interested Parties. You must disclose:

- All developers, contractors, or consultants involved in the application for the assistance or in the planning, development, or implementation of the project or activity and
- any other person who has a financial interest in the project or activity for which the assistance is sought that exceeds \$50,000 or 10 percent of the assistance (whichever is lower).

Alphabetical list of all persons with a reportable financial interest in the project or activity (For individuals, give the last name first)	Social Security No. or Employee ID No.	Type of Participation in Project/Activity	Financial Interest in Project/Activity (\$ and %)

(Note: Use Additional pages if necessary.)

Certification

Warning: If you knowingly make a false statement on this form, you may be subject to civil or criminal penalties under Section 1001 of Title 18 of the United States Code. In addition, any person who knowingly and materially violates any required disclosures of information, including intentional non-disclosure, is subject to civil money penalty not to exceed \$10,000 for each violation.

I certify that this information is true and complete.

Signature:

Date: (mm/dd/yyyy)

X

****Note: This certification must be signed by the Chief Administrative Official (mayor, county commission chair, county administrator, or city manager)**

Public reporting burden for this collection of information is estimated to average 2.0 hours per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. This agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless that collection displays a valid OMB control number.

Privacy Act Statement. Except for Social Security Numbers (SSNs) and Employer Identification Numbers (EINs), the Department of Housing and Urban Development (HUD) is authorized to collect all the information required by this form under section 102 of the Department of Housing and Urban Development Reform Act of 1989, 42 U.S.C. 3531. Disclosure of SSNs and EINs is optional. The SSN or EIN is used as a unique identifier. The information you provide will enable HUD to carry out its responsibilities under Sections 102(b), (c), and (d) of the Department of Housing and Urban Development Reform Act of 1989, Pub. L. 101-235, approved December 15, 1989. These provisions will help ensure greater accountability and integrity in the provision of certain types of assistance administered by HUD. They will also help ensure that HUD assistance for a specific housing project under Section 102(d) is not more than is necessary to make the project feasible after taking account of other government assistance. HUD will make available to the public all applicant disclosure reports for five years in the case of applications for competitive assistance, and for generally three years in the case of other applications. Update reports will be made available along with the disclosure reports, but in no case for a period generally less than three years. All reports, both initial reports and update reports, will be made available in accordance with the Freedom of Information Act (5 U.S.C. §552) and HUD's implementing regulations at 24 CFR Part 15. HUD will use the information in evaluating individual assistance applications and in performing internal administrative analyses to assist in the management of specific HUD programs. The information will also be used in making the determination under Section 102(d) whether HUD assistance for a specific housing project is more than is necessary to make the project feasible after taking account of other government assistance. You must provide all the required information. Failure to provide any required information may delay the processing of your application, and may result in sanctions and penalties, including imposition of the administrative and civil money penalties specified under 24 CFR §4.38.

Note: This form only covers assistance made available by the Department. States and units of general local government that carry out responsibilities under Sections 102(b) and (c) of the Reform Act must develop their own procedures for complying with the Act.

Instructions

Overview.

A. Coverage. You must complete this report if:

- (1) You are applying for assistance from HUD for a specific project or activity **and** you have received, or expect to receive, assistance from HUD in excess of \$200,000 during the fiscal year;
- (2) You are updating a prior report as discussed below; or
- (3) You are submitting an application for assistance to an entity other than HUD, a State or local government if the application is required by statute or regulation to be submitted to HUD for approval or for any other purpose.

B. Update reports (filed by "Recipients" of HUD Assistance):

General. All recipients of covered assistance must submit update reports to the Department to reflect substantial changes to the initial applicant disclosure reports.

Line-by-Line Instructions.

Applicant/Recipient Information.

All applicants for HUD competitive assistance, must complete the information required in blocks 1-5 of form HUD-2880:

1. Enter the full name, address, city, State, zip code, and telephone number (including area code) of the applicant/recipient. Where the applicant/recipient is an individual, the last name, first name, and middle initial must be entered.
2. Entry of the applicant/recipient's SSN or EIN, as appropriate, is optional.
3. Applicants enter the HUD program name under which the assistance is being requested.
4. Applicants enter the amount of HUD assistance that is being requested. Recipients enter the amount of HUD assistance that has been provided and to which the update report relates. The amounts are those stated in the application or award documentation. **NOTE:** In the case of assistance that is provided pursuant to contract over a period of time (such as project-based assistance under section 8 of the United States Housing Act of 1937), the amount of assistance to be reported includes all amounts that are to be provided over the term of the contract, irrespective of when they are to be received.
5. Applicants enter the name and full address of the project or activity for which the HUD assistance is sought. Recipients enter the name and full address of the HUD-assisted project or activity to which the update report relates. The most appropriate government identifying number must be used (e.g., RFP No.; IFB No.; grant announcement No.; or contract, grant, or loan No.) Include prefixes.

Part I. Threshold Determinations - Applicants Only

Part I contains information to help the applicant determine whether the remainder of the form must be completed. **Recipients filing Update Reports should not complete this Part.**

If the answer to **either** questions 1 or 2 is No, the applicant need not complete Parts II and III of the report, but must sign the certification at the end of the form.

Part II. Other Government Assistance and Expected Sources and Uses of Funds.

A. Other Government Assistance. This Part is to be completed by both applicants and recipients for assistance and recipients filing update reports. Applicants and recipients must report any other government assistance involved in the project or activity for which assistance is sought. Applicants and recipients must report any other government assistance involved in the project or activity. Other government assistance is defined in note 4 on the last page. For purposes of this definition, other government assistance is expected to be made available if, based on an assessment of all the circumstances involved, there are reasonable grounds to anticipate that the assistance will be forthcoming.

Both applicant and recipient disclosures must include all other government assistance involved with the HUD assistance, as well as any other government assistance that was made available before the request, but that has continuing vitality at the time of the request. Examples of this latter category include tax credits that provide for a number of years of tax benefits, and grant assistance that continues to benefit the project at the time of the assistance request.

The following information must be provided:

1. Enter the name and address, city, State, and zip code of the government agency making the assistance available.
2. State the type of other government assistance (e.g., loan, grant, loan insurance).
3. Enter the dollar amount of the other government assistance that is, or is expected to be, made available with respect to the project or activities for which the HUD assistance is sought (applicants) or has been provided (recipients).
4. Uses of funds. Each reportable use of funds must clearly identify the purpose to which they are to be put. Reasonable aggregations may be used, such as "total structure" to include a number of structural costs, such as roof, elevators, exterior masonry, etc.

B. Non-Government Assistance. Note that the applicant and recipient disclosure report must specify all expected sources and uses of funds - both from HUD **and any other source** - that have been or are to be, made available for the project or activity. Non-government sources of

funds typically include (but are not limited to) foundations and private contributors.

Part III. Interested Parties.

This Part is to be completed by both applicants and recipients filing update reports. Applicants must provide information on:

1. All developers, contractors, or consultants involved in the application for the assistance or in the planning, development, or implementation of the project or activity and
2. any other person who has a financial interest in the project or activity for which the assistance is sought that exceeds \$50,000 or 10 percent of the assistance (whichever is lower).

Note: A financial interest means any financial involvement in the project or activity, including (but not limited to) situations in which an individual or entity has an equity interest in the project or activity, shares in any profit on resale or any distribution of surplus cash or other assets of the project or activity, or receives compensation for any goods or services provided in connection with the project or activity. Residency of an individual in housing for which assistance is being sought is not, by itself, considered a covered financial interest.

The information required below must be provided.

1. Enter the full names and addresses. If the person is an entity, the listing must include the full name and address of the entity as well as the CEO. Please list all names alphabetically.
2. Entry of the Social Security Number (SSN) or Employee Identification Number (EIN), as appropriate, for each person listed is optional.
3. Enter the type of participation in the project or activity for each person listed: i.e., the person's specific role in the project (e.g., contractor, consultant, planner, investor).
4. Enter the financial interest in the project or activity for each person listed. The interest must be expressed both as a dollar amount and as a percentage of the amount of the HUD assistance involved.

Note that if any of the source/use information required by this report has been provided elsewhere in this application package, the applicant need

not repeat the information, but need only refer to the form and location to incorporate it into this report. (It is likely that some of the information required by this report has been provided on SF 424A, and on various budget forms accompanying the application.) If this report requires information beyond that provided elsewhere in the application package, the applicant must include in this report all the additional information required.

Recipients must submit an update report for any change in previously disclosed sources and uses of funds as provided in Section I.D.5., above.

Notes:

1. All citations are to 24 CFR Part 4, which was published in the Federal Register. [April 1, 1996, at 63 Fed. Reg. 14448.]
2. Assistance means any contract, grant, loan, cooperative agreement, or other form of assistance, including the insurance or guarantee of a loan or mortgage, that is provided with respect to a specific project or activity under a program administered by the Department. The term does not include contracts, such as procurements contracts, that are subject to the Fed. Acquisition Regulation (FAR) (48 CFR Chapter 1).
3. See 24 CFR §4.9 for detailed guidance on how the threshold is calculated.
4. "Other government assistance" is defined to include any loan, grant, guarantee, insurance, payment, rebate, subsidy, credit, tax benefit, or any other form of direct or indirect assistance from the Federal government (other than that requested from HUD in the application), a State, or a unit of general local government, or any agency or instrumentality thereof, that is, or is expected to be made, available with respect to the project or activities for which the assistance is sought.
5. For the purpose of this form and 24 CFR Part 4, "person" means an individual (including a consultant, lobbyist, or lawyer); corporation; company; association; authority; firm; partnership; society; State, unit of general local government, or other government entity, or agency thereof (including a public housing agency); Indian tribe; and any other organization or group of people.

JOINT APPLICATION REQUIREMENTS

When two or more eligible jurisdictions are located in the same region and share a common need they are encouraged to seek cooperative solutions by preparing a joint application for a Planning-Only Grant. An Interlocal Agreement, signed by each participating jurisdiction, must be submitted with the application.

- A city or county must be designated as lead applicant jurisdiction.
- The proposed planning project must principally benefit low- and moderate-income (LMI) persons. The combined target areas of the multiple jurisdictions must principally be LMI or the proposed planning project must target LMI persons throughout the combined areas. The lead jurisdiction must ensure this National Objective is met and documented for the combined areas in the application.
- The following threshold requirements must be met and documented by **each** participating jurisdiction, unless an acceptable subrecipient is used.
 - Citizen participation, including a local public hearing
 - Resolution with Certifications of Compliance

Use of a Subrecipient to Represent Other Participating Jurisdictions

In this case, a subrecipient can represent the other/non-lead participating jurisdiction(s) and then only the lead jurisdiction must meet the threshold requirements.

- To be an acceptable and representative party in a joint application, the subrecipient must be a non-profit organization with the authority to work within the area that would be benefiting from the joint application (such as a regional Housing Authority or Community Action Agency).
- If a subrecipient is used, only the lead jurisdiction must adopt a Certification of Compliance and meet the requirements within this certification.
- If a subrecipient is used, only the lead jurisdiction must complete the federal citizen participation requirements and conduct a public hearing. However, the other participating jurisdiction(s) must inform the public of its intention to participate in the planning project and have a means to receive public comment. This can be achieved through the subrecipient.
- The Disclosure Report submitted by the lead jurisdiction must list all other participating jurisdictions and subrecipients as Interested Parties in Part III. Financial assistance from these parties must be listed in Part II.
- The Narrative sections must communicate the benefits of the joint planning effort and the need for a significant increase in scope that supports a request for the higher CDBG funding level of up to \$50,000.
- An Interlocal Agreement is required between all participating jurisdictions, whether a subrecipient is being used or not. This agreement outlines the roles and responsibilities of the parties involved in a joint application and cooperative planning project.

INTERLOCAL AGREEMENT GUIDELINES

The Interlocal Agreement must include, as a minimum, the following provisions:

1. **Lead Jurisdiction Designation**

The jurisdiction involved in a joint application must determine which jurisdiction will serve as lead during the application development and project period. The authorized chief administrative official of this lead jurisdiction authorizes the grant application on the Project Summary Form.

2. **Relationship of the Participating Jurisdiction(s)**

The jurisdictions involved in a joint application must establish their legal relationship to each other. If the subrecipient is to be used, its relationship should be described here as well.

3. **Roles and Responsibilities**

Describe the roles and responsibilities of each participating jurisdiction, including the names of the respective contact persons. These roles and responsibilities should also be described in the application Work Plan.

4. **Product and Combined Target Area Defined**

Describe the product to result from the proposed planning project and the combined target area and/or beneficiaries.

5. **Time Frames**

Time frames for beginning and completing the proposed planning project must be agreed upon and correspond to the dates in the application Work Plan.

6. **Project Account**

Describe the procedure for maintaining the grant account and coordinating the use of grant funds to pay project-related costs incurred by the participating jurisdictions.

7. **Disposition of Acquired Property**

If applicable, describe the agreed upon arrangement for the disposition of acquired property in accordance with CDBG requirements.

8. **Contract Conditions**

Include a description of the federal and state provisions each participating jurisdiction must comply with when carrying out the Planning-Only Grant contract. See Appendix D for a summary of the federal and state regulations.

CDBG PLANNING-ONLY GRANT APPLICATION CHECKLIST

(For Applicants Use Only)

	YES	NO
1. Has the lead applicant submitted a Pre-Application and received a formal invitation to apply?	_____	_____
2. Does the application contain a copy of the complete Resolution with Certification of Compliance adopted through formal action by a governing body (i.e., City Council, County Board of Commissioners) and signed by the Chief Administrative Official?	_____	_____
3. Has the lead applicant submitted and been awarded only one CDBG Planning-Only Grant application per program year?	_____	_____
4. Does the application contain only eligible activities and costs as per CDBG guidelines?	_____	_____
5. Is the request within the maximum amount limit of \$35,000 or \$50,000?	_____	_____
6. If the request is at the maximum amount, does the project meet the criteria for requesting the maximum amount as outlined on page 3-4?	_____	_____
7. <u>Joint applications:</u>		
Is a complete Interlocal Agreement signed by all participating jurisdictions and submitted?	_____	_____
8. Has the required Citizen Participation Documentation been enclosed with the application and does it meet the minimum requirements?		
✓ A copy of the public hearing minutes.		
✓ A copy of the affidavit of publication or the notice from the paper.		
✓ The Outreach and Accommodation for Non-English Speaking Residents Form, documenting the review and determination of local data on non-English speaking populations, the list of outreach steps (if applicable) and accommodation made.		
✓ A copy of the jurisdiction's adopted Grievance Procedure.	_____	_____
9. Is the Disclosure Report completed, signed by the chief administrative official, and included with the application?	_____	_____
10. Are the appropriate parts and forms complete and assembled in the appropriate order as listed on page 1?	_____	_____
11. Does the project principally benefit low- and moderate-income persons OR address a slum or blight; and does the application include a National Objective Worksheet with the necessary attached documentation?	_____	_____

YES

NO

12. Is the Community Data Summary Form completed and included in the application?

13. Are the survey results (if required) documented and valid according to method and sample size? See chart below for appropriate sample size.

Required Sample Group Sizes For Universes Of Various Sizes

Column A	Column B
Number of Households In the Universe	Sample Group Size Needed to Complete Responses Required
1-49	1-49 (100%)
50-55	50
56-63	55
64-70	60
71-77	65
78-87	70
88-99	80
100-115	90
116-133	100
134-153	110
154-180	125
181-238	150
239-308	175
309-398	200
399-650	250
651-1,200	300
1,201-2,700	350
2,701 or more	400

14. When census data, rather than survey, is used to determine percent of LMI and the community is not listed in Appendix B, is a copy of an official census map correlating to the project area included?

APPLICATION NARRATIVE, WORK PLAN, AND BUDGET

Overview

This section provides a framework and guiding questions to assist an applicant describe its planning proposal. This section is to be completed **after** the jurisdiction has received an invitation to apply from the CDBG Program.

The information from the submitted narrative, work plan and budget will be used by CTED to review the proposal's local support, capacity, readiness to proceed and outcomes before a final award decision is made. If awarded, this information will also provide the basis for contracting. Submittal of an application does not guarantee funding.

The following questions and forms are guidance only. If the applicant has used another format for an accompanying funding source **and** if this format provides the necessary information on the same planning proposal, this alternate format will be accepted.

Framework

- Need Statement
- Capacity Statement
- Readiness Statement, Work Plan, and Budget Forms
- Results Statement

WARNING: Applicants occasionally do not provide complete information in these narrative sections and risk delay in the processing of their application or denial of their application. Provide written responses to the bulleted questions in each narrative section. Contact the CDBG Program if additional clarification is needed.

NEED Statement

What is the current situation and how was the project prioritized?

*The **Need Statement** describes the general conditions your organization or community wants to change or create, who is impacted and how, and how the community identified the proposed project as a high level priority within the community. The applicants "Need" statement will be evaluated on:*

- *A comparison of the relative hardship (difficulty) and frequency of the identified need.*
 - *Whether or not mandated corrective actions have been ordered.*
 - *Clarity of the need, evidence of the need, and credibility of documentation.*
 - *Who is affected by the need.*
 - *What would happen if nothing were done?*
-

GRANT-WRITING SUGGESTIONS: *Label this section NEED STATEMENT. The following questions will assist you in developing a strong Need Statement and providing the necessary information. We recommend you limit this section to **three pages**.*

1. What is the need/problem the proposal seeks to respond to or address?
2. Who is most affected by the problem or need? How are low- and moderate-income persons impacted? How many people are affected; how are they affected; and how often are they affected?
3. Is the project urgent? Does it address a public health and safety issue? Is the planning project responding to a state or federal mandate? If so, describe specifically how.
4. How was this project identified as a high level priority within the community? If it is not identified as the highest-level priority, explain why. Demonstrate strong support and agreement for the project at the local level.
5. Explain what will happen if nothing is done.
6. How was the proposed planning project developed? Include key people, target groups, organizations consulted and the process used to involve the public.

CAPACITY Statement

The applicant's "CAPACITY" statement will be evaluated using the following criteria:

- Past efforts and/or attempts to address the need.
 - Whether or not the jurisdiction (and participating subrecipients) has/have the capacity and authority to address the need on their own.
 - Capacity of the jurisdiction (or responsible subrecipient) to operate and manage the project into the foreseeable future.
 - Financial need – availability (or unavailability) of local resources.
-

When formulating a CAPACITY statement, consider the following: *Describe the local capacity to address the identified need, using facts and data to support your statements (for example: history of utility rates or fees, local indebtedness). Be sure to include:*

1. How able is your community to meet this need on its own? Has the community already done everything that can be done locally? What specifically is the gap between need that can be met locally and the assistance needed from a Planning-Only Grant?
2. What resources are currently committed to this project? (This would include any CDBG Program Income earned from a previous CDBG funded project.) If not committed, why not?
3. Do you have the staff capacity to address this need? Explain the organizational capacity of the responsible parties needed to conduct this planning effort.
4. What is the proposed administrative plan for implementing the project and managing the funds?
5. If there will be a subrecipient, describe the relationship between the subrecipient and applicant and who will have what responsibilities, including grant administration, procurement, oversight, etc.
6. Describe the relationship between the jurisdiction and other project participants (i.e. contractor, consultant, organization, citizen groups and other governmental agencies) and how appropriate oversight will be maintained.

READINESS Statement Work Plan and Budget

The applicant's "READINESS" statement will be evaluated using the following criteria:

- The overall need for a community development resource is great and has a high likelihood of rapidly producing a public benefit.
 - Extent to which all necessary financial and non-financial project participants are firmly committed and involved at the point of application.
 - Evidence that the time between contract award and the point at which the public benefit will begin is minimal.
 - Thoroughness and reasonableness of the budget assumptions as identified on the Budget Form.
-

When formulating a READINESS statement, address the following:

1. Clearly describe the planning project and explain how it addresses the Need Statement.
2. What is the basis for the approach taken? What options have been considered?
3. How and when are the community or other interested parties involved in the solution and work plan activities? Include the required final public hearing, and review and approval process by stakeholders and governmental body.
4. If relevant, are regulatory agencies in agreement that the proposed solution is the right solution? Provide letters of agreement if available.
5. List obstacles that might affect the success of the planning project if funded, and describe how your work plan addresses these obstacles.
6. Using the Work Plan Form on page 42, list the tasks and the time frames that will be accomplished during this planning process. Also, name the individual(s), consultant(s), or organizations responsible for carrying out each task.
7. Clearly explain why the order, timing and assignment of responsibility (as listed in the Work Plan) are appropriate.
8. Is the project ready to go? If not, what else must be done before it is?
9. Complete the Budget Forms on page 46 and 47. Explain assumptions, list funding sources pursued, and commitment of funding sources.

APPLICATION FORM

WORK PLAN FORM

*GRANT-WRITING SUGGESTIONS: Use the WORK PLAN FORM found on page 42. We recommend you limit the Work Plan Form to **two pages**.*

- List the tasks and time frames described in the Readiness Statement.
- Name the individual(s), consultant(s), or organizations responsible for carrying out each task.
- Examples of Work Plans and the level of detail to provide are included on the following pages.

Sample #1

WORK PLAN FORM

“Community Action Plan”

TASKS	TIME FRAME	RESPONSIBLE PARTY
1) Hire consultant.	1/03 - 2/03	Project Manager
2) Identify and recruit volunteers from a range of community sectors (business, education, human services) and special need populations.	1/03 - 4/03	Project Manager, Steering Committee
3) Develop, distribute and collect community needs surveys.	4/03 - 5/03	Project Manager, Steering Committee, volunteers
4) Analyze survey data.	6/03	Project Manager
5) Conduct analysis of local strengths, weaknesses, opportunities, threats (SWOT).	6/03 - 7/03	Consultant, Project Manager, Steering Committee, volunteers
6) Hold community meeting to discuss results of community survey and SWOT, and to prioritize community actions.	8/03	Consultant, Project Manager
7) Research funding sources and determine lead agencies for priority community actions.	9/03 - 10/03	Consultant, Project Manager, Steering Committee
8) Develop draft community action plan.	11/03	Project Manager, Steering Committee
9) Hold public hearing to review community action plan.	12/03	Town Council
10) Complete community action plan.	1/04	Project Manager, Steering Committee
11) Adopt community action plan.	2/04	Town Council

Sample #2**WORK PLAN FORM****“Water System Plan”**

TASKS	TIME FRAME	RESPONSIBLE PARTY
1) Collect data on present domestic water demands.	09/03	PUD Planner
2) Inventory and assess current domestic water system components.	10/03	Consulting Engineer
3) Review long-range population forecasts.	10/03	PUD Planner
4) Review current and proposed zoning/land uses.	10/03	PUD Planner
5) Estimate 5- and 10-year domestic water demands.	11/03	Consulting Engineer
6) Determine 5- and 10-year domestic water system capital facility needs and develop draft report.	12/03	Consulting Engineer and PUD Planner
7) Review draft with PUD Commissioners in a public forum and amend report.	1/04	Consulting Engineer and PUD Planner
8) Adopt Capital Facility Plan for domestic water system.	1/04	PUD Commissioners

WORK PLAN FORM		
TASKS	TIME FRAME	RESPONSIBLE PARTY

RESULTS Statement

The applicant's "READINESS" statement will be evaluated using the following criteria:

- Degree of certainty that the project will have the desired impact and will address the need in the way and to the level it was intended.
 - Benefit of the project to persons and households that are both above and below the low-and moderate-income level within the intended service area.
 - Methods that will be used to measure results and how this information will be used and reported.
 - Return on investment – Degree of certainty that the project will produce outputs and outcomes that are commensurate with the amount of public resources provided and secured.
-

When formulating a RESULTS statement, give consideration to the following:

1. What are the short and long-term outcomes of the proposed planning project? List the final product(s) to be produced as a short-term outcome.
2. How will the proposed plan benefit the community and low- and moderate-income persons? This can include both direct and indirect benefits.
3. How many persons will benefit? How many households will benefit?
4. If funded, performance measures will you use to evaluate project successes at the end of the project.
5. How will you implement the project?

BUDGET

How will the grant funds and other local or outside resources be used?

*The **Budget** presents a financial plan for the use of funds and other resources, and describes how costs were derived. The budget development process is a useful opportunity to outline and plan for all resources necessary for project success.*

***GRANT-WRITING SUGGESTIONS:** Use the Budget Worksheet on page 46. The following items will assist you in developing a strong budget and providing the necessary information. Submit one Budget Worksheet, but use additional paper if more space is needed to explain line items.*

- A match is not required; however, local contribution and leveraged funds (including volunteer hours) are viewed favorably and demonstrate a local commitment to the planning project.
- Estimate reasonable general administration expenses as part of the local contribution.
- If you have a question concerning the eligibility of a project cost or local contributions, contact CDBG staff prior to submitting your proposal.
- In the budget notes, describe the source, basis and method of obtaining budget costs, including elements of a consultant's bid. Ensure amounts add up, resources are identified, and reviewer can reconstruct the budget from the written explanation.
- For examples of budget, see pages 48-49.

BUDGET (Continued)

ELIGIBLE COSTS

- **Personnel:** Salaries and benefits for project employees based on the length of the project. Show staff positions and the amount of time each contributes to the project.
- **Personal Services:** Any subcontracts with consultants should include hourly rates, travel, communication and other associated costs. You can include as in-kind contributions any donated services or volunteer time.
- **Project Related Expenses:**
 - Materials and Supplies:** Items used specifically for this project.
 - Communications:** Telephone, FAX, postage and overnight mailing fees directly related to the project.
 - Printing and Reproduction:** Printing, photocopying or photography costs.
 - Rental and Leases:** Office space, equipment rentals or leases for this project.
 - Workshop or Training:** Costs to attend and/or sponsor a training event.
- **Travel:** Include mileage, lodging and meals for staff and volunteers. Consultant travel belongs in the total you show under consultant contracts. (See *Personal Services* above.)
- **General Administration:** You can include bookkeeping costs or time to complete required reports to CTED under cash or in-kind contributions.

INELIGIBLE COSTS

- Capital expenses, such as land acquisition, construction costs, final architectural, final engineering or other pre-construction designs.
- Purchase of machinery or computer equipment. You can lease these, but *not* under a lease-purchase contract.
- Hosting expenses, such as meals, lodging or transportation, incurred by persons other than staff or volunteers working directly on the project.
- Payment of general on-going organizational operations.
- Other costs which are not directly related to the proposed planning project.

BUDGET WORKSHEET

What is the expected contract time funded by this request?* ____ months. If planning activity requires approval by regulatory agency, include time it will take for approval.

	Request to CTED*	Cash Contribution	In-Kind Contribution	Other Resources	TOTALS
A. Personnel					
B. Personal Services					
C. Project Related Expenses					
D. Travel					
E. General Administration	XXXXXXX				
TOTALS					

*On the next page, outline how the budget amounts were developed, explaining **all** line items including your request to CTED for the CDBG Planning-Only Grant funds. Use the other side or additional paper if you need more space. **Please refer to budget examples on pages 48-49.***

- A. Personnel: List project positions and amount of time they will work on the project.
- B. Personal Services: Identify the type of consultant you are using and purpose; i.e., marketing consultant for tourism brochure.
- C. Project Related Expenses: Be specific about costs, following the categories described on page 45.
- D. Travel: Mileage and per diem costs for paid project personnel or volunteers.
- E. General Administration: (Local Contributions only).

BUDGET SAMPLE #1: NEEDS ASSESSMENT AND COMMUNITY ACTION PLAN

Brownsville wants to plan for its future. The town will hire a consultant to prepare a SWOT and a project coordinator to help tie together the strategic planning activities of the volunteer steering committee.

What is the expected contract time funded by this request? 18 Months

	Request to CTED	Cash Contribution	In-Kind Contribution	Other Resources	TOTALS
A. Personnel	\$23,318	\$0			\$23,318
B. Personal Services	\$0	\$0	\$5,400	\$5,850	\$11,250
C. Project Related Expenses	\$432	\$0			\$432
D. Travel	\$250	\$0	\$120		\$370
E. General Administration	XXXXXX	\$480			\$480
TOTALS	\$24,000	\$480	\$5,520	\$5,850	\$35,850

Outline how the budget amounts were developed, explaining **all** line items, including your request to CTED. Use the other side or additional paper if you need more space.

A. Personnel: List project positions and amount of time they will work on the project.

**Project Coordinator: Starting at 20 hours a week for 3 months @ \$13.88/hr = \$3,331;
\$13.88/hr x 30 hrs/wk/12 months = \$19,987.**

B. Personal Services: Identify the type of consultant you are using and purpose; i.e., marketing consultant for tourism brochure.

Consultant services to conduct the community assessment of Strengths, Weaknesses, Opportunities and Threats (SWOT) = \$5,850 (donated by the White Cloud Foundation);

Community Volunteer Steering Committee:

12 people x \$10/hr value x 18 months x 2.5 hr/mo = \$5,400

C. Project Related Expenses: Be specific about costs, following the categories described on page 45.

Communications: telephone; mailings = \$300

Printing and Reproduction: 1,175 copies @ \$.07 = \$82

Workshops/Training: one registration for the timber communities conference = \$50

D. Travel: Mileage and per diem costs for paid project personnel or volunteers.

Mileage rate is \$.34 per mile

Estimated volunteer mileage = \$120

Minimal staff mileage – budgeted at \$250

E. General Administration (Local Contributions only).

A bookkeeper will be hired at \$10/hr to do reports for this grant. Total costs = \$480

BUDGET SAMPLE #2: CAPITAL FACILITIES PLAN

Cook County PUD is facing an inadequate water supply and needs to determine what is the best solution and how to fund it.

What is the expected contract time funded by this request? 6 Months

	Request to CTED	Cash Contribution	In-Kind Contribution	Other Resources	TOTALS
A. Personnel					
B. Personal Services	\$30,000	\$7,500			\$37,500
C. Project Related Expenses					
D. Travel					
E. General Administration	XXXXXX		\$250		\$250
TOTALS	\$30,000	\$7,500	\$250		\$37,750

Outline how the budget amounts were developed, explaining **all** line items, including your request to CTED. Use the other side or additional paper if you need more space.

- A. Personnel: List project positions and amount of time they will work on the project.
- B. Personal Services: Identify the type of consultant you are using and purpose; i.e., marketing consultant for tourism brochure.

Consultant services to conduct analysis of Cook County PUD water system needs and prepare final Community Capital Facilities Plan. Consultant contract includes hourly rate, travel, fax/long distance costs, and ten color copies of final report.

- C. Project Related Expenses: Be specific about costs, following the categories described on page 45.
- D. Travel: Mileage and per diem costs for paid project personnel or volunteers.
- E. General Administration (Local Contributions only).

City clerk will provide bookkeeping and filing and comply with CDBG contracting and reporting requirements @ \$10/hr x 1 hr/wk x 25 wks = \$250

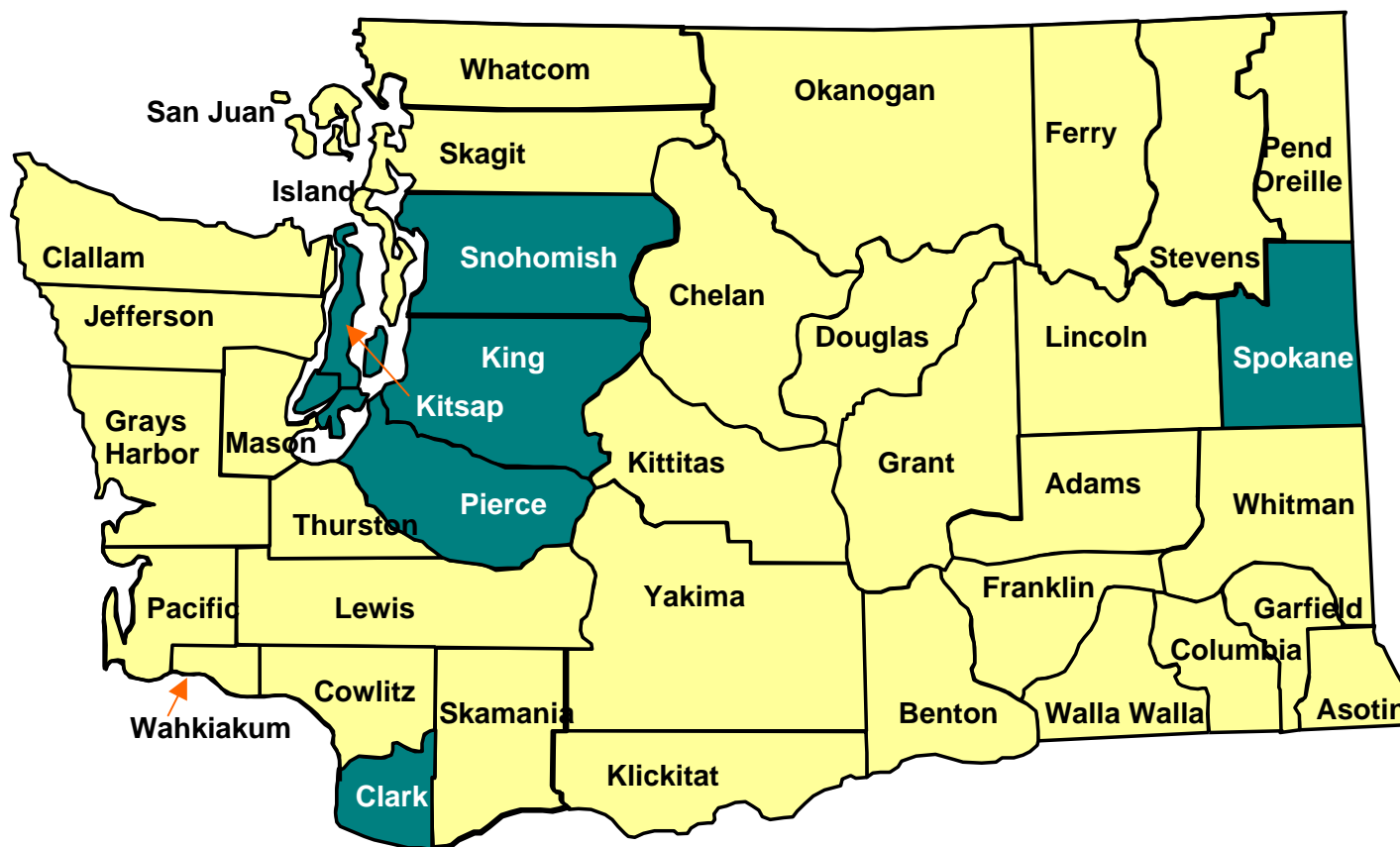
APPENDICES

APPENDIX A - ELIGIBLE AND INELIGIBLE JURISDICTIONS

**APPENDIX B - JURISDICTIONS WITH 51 PERCENT OR GREATER LOW- AND
MODERATE-INCOME**

APPENDIX C - 2005 LOW- AND MODERATE-INCOME LIMITS

APPENDIX D - STATE AND FEDERAL REQUIREMENTS AND ASSURANCES



2006 CDBG Entitlement/Non-Entitlement Jurisdictions

Non-Entitlement Counties	Entitlement Counties	Entitlement Cities in Non-Entitlement Counties	
	<ul style="list-style-type: none"> Clark King Kitsap Pierce Snohomish Spokane 	<ul style="list-style-type: none"> Anacortes Bellingham Longview Olympia 	<ul style="list-style-type: none"> Mount Vernon Tri-Cities Wenatchee Yakima

**JURISDICTIONS WITH 51 PERCENT OR GREATER
LOW- and MODERATE-INCOME (LMI) POPULATION**

(Based On HUD's 2000 Census Data)

NAME	LMI Population	TOTAL Population	LMI Percentage
Almira	173	321	53.9
Benton City	1,318	2,533	52.0
Bingen	435	652	66.7
Brewster	1,520	2,125	71.5
Bridgeport	1,453	2,099	69.2
Bucoda	404	648	62.3
Chelan	1,923	3,532	54.4
Chewelah	1,155	2,129	54.3
Clarkston	3,894	7,067	55.1
Cle Elum	922	1,787	51.6
Conconully	124	209	59.3
Concrete	497	832	59.7
Connell	1,375	2,403	57.2
Coupeville	875	1,610	54.3
Creston	121	230	52.6
Cusick	150	211	71.1
Ellensburg	8,027	13,234	60.7
Entiat	502	959	52.3
Everson	1,059	2,043	51.8
George	368	510	72.2
Goldendale	1,996	3,665	54.5
Grand Coulee	506	878	57.6
Granger	1,811	2,586	70.0
Hamilton	194	330	58.8
Hartline	79	142	55.6
Hatton	65	118	55.1
Hoquiam	4,724	8,977	52.6
Ione	302	506	59.7
Kahlotus	143	257	55.6
Kelso	6,133	11,730	52.3
Kettle Falls	838	1,553	54.0
Kittitas	708	1,130	62.7
Krupp	47	78	60.3
Lamont	66	91	72.5
Long Beach	707	1,268	55.8
Mabton	1,279	1,911	66.9
Malden	139	213	65.3
Mattawa	2,029	2,703	75.1

**JURISDICTIONS WITH 51 PERCENT OR GREATER
LOW- and MODERATE-INCOME (LMI) POPULATION**

NAME	LOW/MOD Population	TOTAL Population	LMI Percentage
Mesa	269	441	61.0
Metaline	118	179	65.9
Metaline Falls	118	199	59.3
Mossyrock	253	463	54.6
Nespelem	107	165	64.8
Newport	1,093	1,808	60.5
Northport	212	343	61.8
Oak Harbor	12,622	19,797	63.8
Oakville	346	640	54.1
Okanogan	1,240	2,281	54.4
Omak	2,482	4,461	55.6
Oroville	1,005	1,630	61.7
Othello	3,172	5,700	55.6
Pe Ell	391	688	56.8
Pullman	11,621	19,792	58.7
Quincy	2,951	5,116	57.7
Raymond	1,516	2,754	55.0
Republic	558	978	57.1
Riverside	217	349	62.2
Rock Island	467	883	52.9
Royal City	1,133	1,840	61.6
Sequim	2,109	4,086	51.6
Soap Lake	1,082	1,695	63.8
South Bend	963	1,809	53.2
Springdale	202	316	63.9
Starbuck	85	115	73.9
Sumas	572	965	59.3
Sunnyside	8,704	13,869	62.8
Tenino	829	1,448	57.3
Tieton	590	1,131	52.2
Toledo	312	612	51.0
Tonasket	557	880	63.3
Toppenish	5,799	8,781	66.0
Union Gap	2,806	5,479	51.2
Vader	344	617	55.8
Wapato	3,182	4,575	69.6
Warden	1,462	2,540	57.6
Wilson Creek	147	201	73.1
Winthrop	177	324	54.6
Yelm	1,693	3,303	51.3

APPENDIX C

2005 Income Limits									
COUNTY	%	1 Person	2 Persons	3 Persons	4 Persons	5 Persons	6 Persons	7 Persons	8 Persons
ADAMS	50	17,450	19,950	22,450	24,950	26,950	28,950	30,950	32,950
	80	27,950	31,950	35,950	39,900	43,100	46,300	49,500	52,700
ASOTIN	50	17,450	19,950	22,450	24,950	26,950	28,950	30,950	32,950
	80	27,950	31,950	35,950	39,900	43,100	46,300	49,500	52,700
BENTON	50	21,650	24,750	27,850	30,950	33,450	35,900	38,400	40,850
	80	34,650	39,600	44,550	49,500	53,500	57,450	61,400	65,350
CHELAN	50	18,950	21,650	24,350	27,050	29,200	31,400	33,550	35,700
	80	30,300	34,600	38,950	43,300	46,750	50,200	53,650	57,150
CLALLAM	50	17,900	20,500	23,050	25,600	27,650	29,700	31,750	33,800
	80	28,650	32,750	36,850	40,950	44,250	47,500	50,800	54,050
CLARK	50	23,750	27,150	30,550	33,950	36,650	39,400	42,100	44,800
	80	38,000	43,450	48,900	54,300	58,650	63,000	67,350	71,700
COLUMBIA	50	18,500	21,100	23,750	26,400	28,500	30,600	32,750	34,850
	80	29,550	33,800	38,000	42,250	45,600	49,000	52,400	55,750
COWLITZ	50	19,250	22,000	24,750	27,500	29,700	31,900	34,100	36,300
	80	30,800	35,200	39,600	44,000	47,500	51,050	54,550	58,100
DOUGLAS	50	18,000	20,550	23,150	25,700	27,750	29,800	31,850	33,900
	80	28,800	32,900	37,000	41,100	44,400	47,700	51,000	54,300
FERRY	50	17,450	19,950	22,450	24,950	26,950	28,950	30,950	32,950
	80	27,950	31,950	35,950	39,900	43,100	46,300	49,500	52,700
FRANKLIN	50	21,650	24,750	27,850	30,950	33,450	35,900	38,400	40,850
	80	34,650	39,600	44,550	49,500	53,500	57,450	61,400	65,350
GARFIELD	50	17,850	20,400	22,950	25,500	27,550	29,600	31,600	33,650
	80	28,550	32,650	36,700	40,800	44,050	47,350	50,600	53,850

APPENDIX C

COUNTY	%	1 Person	2 Persons	3 Persons	4 Persons	5 Persons	6 Persons	7 Persons	8 Persons
GRANT	50	17,450	19,950	22,450	24,950	26,950	28,950	30,950	32,950
	80	27,950	31,950	35,950	39,900	43,100	46,300	49,500	52,700
GRAYS HARBOR	50	17,450	19,950	22,450	24,950	26,950	28,950	30,950	32,950
	80	27,950	31,950	35,950	39,900	43,100	46,300	49,500	52,700
ISLAND	50	27,250	31,150	35,050	38,950	42,050	45,200	48,300	51,400
	80	40,600	46,400	52,200	58,000	62,650	67,300	71,900	76,550
JEFFERSON	50	18,650	21,300	24,000	26,650	28,800	30,900	33,050	35,200
	80	29,850	34,100	38,400	42,650	46,050	49,450	52,850	56,300
KING	50	27,250	31,150	35,050	38,950	42,050	45,200	48,300	51,400
	80	40,600	46,400	52,200	58,000	62,650	67,300	71,900	76,550
KITSAP	50	22,250	25,400	28,600	31,750	34,300	36,850	39,350	41,900
	80	35,550	40,650	45,700	50,800	54,850	58,950	63,000	67,050
KITITAS	50	18,850	21,550	24,250	26,950	29,100	31,250	33,400	35,550
	80	30,200	34,500	38,800	43,100	46,550	50,000	53,450	56,900
KLICKITAT	50	17,450	19,950	22,450	24,950	26,950	28,950	30,950	32,950
	80	27,950	31,950	35,950	39,900	43,100	46,300	49,500	52,700
LEWIS	50	17,450	19,950	22,450	24,950	26,950	28,950	30,950	32,950
	80	27,950	31,950	35,950	39,900	43,100	46,300	49,500	52,700
LINCOLN	50	17,450	19,950	22,450	24,950	26,950	28,950	30,950	32,950
	80	27,950	31,950	35,950	39,900	43,100	46,300	49,500	52,700
MASON	50	17,600	20,150	22,650	25,200	27,200	29,200	31,200	33,250
	80	28,200	32,250	36,300	40,300	43,550	46,750	50,000	53,200
OKANOGAN	50	17,450	19,950	22,450	24,950	26,950	28,950	30,950	32,950
	80	27,950	31,950	35,950	39,900	43,100	46,300	49,500	52,700

APPENDIX C

COUNTY	%	1 Person	2 Persons	3 Persons	4 Persons	5 Persons	6 Persons	7 Persons	8 Persons
PACIFIC	50	17,450	19,950	22,450	24,950	26,950	28,950	30,950	32,950
	80	27,950	31,950	35,950	39,900	43,100	46,300	49,500	52,700
PEND OREILLE	50	17,450	19,950	22,450	24,950	26,950	28,950	30,950	32,950
	80	27,950	31,950	35,950	39,900	43,100	46,300	49,500	52,700
PIERCE	50	21,750	24,850	27,950	31,050	33,550	36,000	38,500	41,000
	80	34,800	39,750	44,700	49,700	53,650	57,650	61,600	65,600
SAN JUAN	50	21,050	24,050	27,050	30,050	32,450	34,850	37,250	39,650
	80	33,650	38,450	43,250	48,100	51,950	55,750	59,600	63,450
SKAGIT	50	19,850	22,700	25,500	28,350	30,600	32,900	35,150	37,400
	80	31,750	36,300	40,800	45,350	49,000	52,600	56,250	59,900
SKAMANIA	50	17,850	20,400	22,950	25,500	27,550	29,600	31,600	33,650
	80	28,550	32,650	36,700	40,800	44,050	47,350	50,600	53,850
SNOHOMISH	50	27,250	31,150	35,050	38,950	42,050	45,200	48,300	51,400
	80	40,600	46,400	52,200	58,000	62,650	67,300	71,900	76,550
SPOKANE	50	19,100	21,850	24,550	27,300	29,500	31,650	33,850	36,050
	80	30,600	34,950	39,300	43,700	47,150	50,650	54,150	57,650
STEVENS	50	17,450	19,950	22,450	24,950	26,950	28,950	30,950	32,950
	80	27,950	31,950	35,950	39,900	43,100	46,300	49,500	52,700
THURSTON	50	23,150	26,450	29,750	33,050	35,700	38,350	41,000	43,650
	80	37,000	42,300	47,600	52,900	57,100	61,350	65,550	69,800
WAHIAKUM	50	18,900	21,600	24,300	27,000	29,150	31,300	33,450	35,600
	80	30,250	34,550	38,900	43,200	46,650	50,100	53,550	57,000
WALLA WALLA	50	17,950	20,500	23,100	25,650	27,700	29,750	31,800	33,850
	80	28,750	32,850	36,950	41,050	44,300	47,600	50,900	54,150

APPENDIX C

COUNTY	%	1 Person	2 Persons	3 Persons	4 Persons	5 Persons	6 Persons	7 Persons	8 Persons
WHATCOM	50	20,250	23,150	26,050	28,950	31,250	33,600	35,900	38,200
	80	32,400	37,050	41,700	46,300	50,050	53,750	57,450	61,150
WHITMAN	50	18,400	21,050	23,650	26,300	28,400	30,500	32,600	34,700
	80	29,450	33,650	37,850	42,100	45,450	48,800	52,200	55,550
YAKIMA	50	17,450	19,950	22,450	24,950	26,950	28,950	30,950	32,950
	80	27,950	31,950	35,950	39,900	43,100	46,300	49,500	52,700

APPENDIX D: STATE AND FEDERAL REQUIREMENTS AND ASSURANCES

The Grantee assures compliance with the following laws, regulations and requirements as they pertain to the design, implementation and administration of the approved local project.

AII.01 Public Law 88-352, Title VI of the Civil Rights Act of 1964 (42 U.S.C. 2000d et seq.) (24 CFR Part 1)

The Grantee must comply with the provisions of "Public Law 88-352," which refers to Title VI of the Civil Rights Act of 1964 (42 U.S.C. 2000d et seq.). The law provides that no person in the United States shall, on the grounds of race, color or national origin, be denied the benefits of, be excluded from participation in, or be subjected to discrimination under any program or activity receiving federal financial assistance.

AII.02 Public Law 90-284, Title VIII of the Civil Rights Act of 1968 (42 U.S.C. 3601 et seq.), commonly referred to as the Federal Fair Housing Act, as amended by the Fair Housing Amendments Act of 1988 (P.L. 100-430)

The Grantee shall comply with the provisions of the Federal Fair Housing Act. The law states that it is the policy of the United States to provide, within constitutional limitation, for fair housing throughout the United States and prohibits any person from discriminating in the sale or rental of housing, the financing of housing or the provisions of brokerage services, including in any way making unavailable or denying a dwelling to any person, because of race, color, religion, sex, familial status, national origin or handicap. The Grantee must also administer programs and activities relating to housing and urban development in a manner that affirmatively promotes fair housing and furthers the purposes of the Federal Fair Housing Act, as amended.

AII.03 Executive Order 11063, As Amended by Executive Order 12259 (24 CFR Part 107)

The Grantee must comply with the provisions of Executive Order 11063, as amended by Executive Order 12259, which directs the Grantee to take all action necessary and appropriate to prevent discrimination because of race, color, religion, creed, sex or national origin; in the sale, leasing, rental and other disposition of residential property and related facilities (including land to be developed for residential use); or in the use or occupancy thereof if such property and related facilities are, among other things, provided in whole or in part with the aid of loans, advances, grants or contributions from the federal government.

AII.04 Section 109 of the Housing and Community Development Act of 1974, As Amended through 1992

The Grantee must comply with the provisions of Section 109 of the Housing and Community Development Act of 1974, as amended through 1992, which require that no person in the United States shall on the grounds of race, religion, color, national origin or sex be excluded from participation in, be denied the benefits of, or be subjected to discrimination under any program or activity funded in whole or in part with federal Community Development funds made available pursuant to Title I of the Act.

AII.05 Section 104 (b) 4 of the Housing and Community Development Act of 1974, As Amended through 1992

The Grantee must comply with the provisions of Section 104 (b) 4 of the Housing and Community Development Act of 1974, as amended through 1992, which requires that the Grantee will identify its community development and housing needs, including the needs of low- and moderate-income persons and the activities to be undertaken to meet such needs.

AII.06 Section 104 (d) of the Title I of the Housing and Community Development Act of 1974, As Amended through 1992.

The Grantee must comply with the provisions of Section 104 (d) of the Housing and Community Development Act of 1974, as amended through 1992, which require that the Grantee will adopt, make public and certify to the State that it is following a "residential anti-displacement and relocation assistance plan." The plan must: (1) provide for one-for-one replacement of low- to moderate-income dwelling units demolished or converted to use other than low- to moderate-income housing as a direct result of the use of CDBG assistance; (2) provide for relocation assistance; and (3) describe steps to minimize displacement.

AII.07 Section 104 (l) of the Housing and Community Development Act of 1974, as Amended through 1992. Protection of Individuals Engaged in Nonviolent Civil Rights Demonstration

The Grantee must comply with the provisions of Section 104 (l) of the Housing and Community Development Act of 1974, as amended through 1992, which requires that the Grantee must adopt and enforce a policy of prohibiting the use of excessive force by law enforcement agencies within its jurisdiction against any individuals engaged in nonviolent civil rights demonstrations; and it must adopt and enforce a policy of enforcing applicable state and local laws against physically barring entrance to or exit from a facility or location which is the subject of such non-violent civil rights demonstration within its jurisdiction.

AII.08 Age Discrimination Act of 1975, As Amended (42 U.S.C. 6101 et seq.)

The Grantee shall comply with the Age Discrimination Act of 1975, as amended, which provides that no person shall be excluded from participation, denied program benefits or subjected to discrimination on the basis of age under any program or activity receiving federal assistance.

AII.09 Section 504 of the Rehabilitation Act of 1973, As Amended (29 U.S.C. 794)

The Grantee must comply with Section 504 of the Rehabilitation Act of 1973, as amended, which provides that no otherwise qualified individual shall, solely by reason of his or her handicap, be excluded from participation (including employment), denied program benefits, or be subjected to discrimination under any program or activity receiving federal assistance funds.

AII.10 Public Law 101-336, Title II of the Americans with Disabilities Act of 1990, 42 U.S.C. Section 12101 et. seq.

The Grantee must comply with the provisions of Section 202 of the Americans with Disabilities Act which states that no qualified individual with a disability shall, by reason of such disability, be excluded from participation in or be denied the benefits of the services, programs, or activities of a public entity, or be subjected to discrimination by any such entity.

AII.11 Section 3 of the Housing and Urban Development Act of 1968 (12 U.S.C. 1701u) (24 CFR Part 135)

The Grantee shall comply with the provisions of Section 3 of the Housing and Urban Development Act of 1968 which require, in connection with the planning and carrying out of any project assisted under the Act, to the greatest extent feasible, that opportunities for job training, employment, and contracting opportunities be given to lower-income persons residing within the unit of local government or the non-metropolitan county in which the project is located, and contracts for work in connection with the project be awarded to eligible business concerns that are located in, or owned in substantial part by persons residing in the project area. The Grantee must assure good faith efforts toward compliance with the statutory directive of Section 3.

AII.12 Executive Order 11246, As Amended by Executive Order 11375

The Grantee must comply with Executive Order 11246, as amended, which applies to all federally assisted construction contracts and subcontracts. The Grantee and subcontractors, if any, shall not discriminate against any employee or applicant for employment because of race, color, religion, sex or national origin. The Grantee and subcontractors, if any, shall take affirmative action to ensure that applicants are employed, and that employees are treated during employment, without regard to their race, color, religion, sex or national origin. Such action shall include, but not be limited to, the following: employment; upgrading; demotion or transfer; recruitment or recruitment advertising; layoff or termination; rate of pay or other forms of compensation; and selection for training, including apprenticeship.

The Grantee and subcontractors must post in conspicuous places, available to employees and applicants for employment, notices to be provided setting forth the provisions of this nondiscrimination clause. For contracts over \$10,000 the Grantee and subcontractors will send to each applicable labor union a notice of the above requirements, the Grantee and subcontractors, if any, will comply with relevant rules, regulations and orders of the U.S. Secretary of Labor. The Grantee or subcontractor will make their books and records available to state and federal officials for purposes of investigation to ascertain compliance.

AII.13 Davis-Bacon Act, As Amended (40 U.S.C. 276a)

The Grantee shall comply with the provisions of the Davis-Bacon Act, as amended. This Act mandates that all laborers and mechanics be paid unconditionally and not less often than once a week, and without subsequent deductions, the full amounts due at the time of payments, computed at wage rates not less than those contained in the wage determination issued by the U.S. Department of Labor. Weekly certified payrolls are required to be submitted to the federally funded recipient by the contractor. These requirements apply to rehabilitation of residential property only if such property is designed for residential use for eight or more families.

AII.14 Copeland Act (Anti-Kickback Act) (40 U.S.C. 276c)

The Grantee shall comply with the Copeland Act, which makes it a criminal offense for any person to induce, by any manner whatsoever, any other person employed in the construction, prosecution, completion, or repair of any public building, or work financed in whole or in part by loans or grants from the United States, to give up any part of the compensation to which he or she is entitled under his or her contract of employment. Compensation shall consist of wages and approved fringe benefits.

AII.15 Contract Work Hours and Safety Standards Act (40 U.S.C. 327 et seq.)

The Grantee shall comply with the provisions of the Contract Work Hours and Safety Standards Act. According to this Act, no contract work may involve or require laborers or mechanics to work in excess of 40 hours in a workweek, unless compensation of not less than one and one-half times the basic rate is paid for the overtime hours. If the Act is violated, the contractor or subcontractor is liable to any affected employee for unpaid damages as well as to the United States for liquidated damages. These requirements apply to rehabilitation of residential property only if such property is designed for residential use for eight or more families.

AII.16 The National Environmental Policy Act of 1969 (NEPA) (42 U.S.C. Section 4321 et seq., and 24 CFR Part 58)

The Grantee shall comply with the provisions of the National Environmental Policy Act of 1969. The purpose of this Act is to attain the widest use of the environment without degradation, risk to health or safety, or other undesirable and unintended consequences. Environmental review procedures, including determining and publishing a Finding of Significance or of No Significance for a proposal, are a necessary part of this process. Pursuant to these provisions, the Grantee must also submit environmental certifications to the Department when requesting that funds be

released for the project. The Grantee must certify that the proposed project will not significantly impact the environment and that the Grantee has complied with environmental regulations and fulfilled its obligations to give public notice of the funding request, environmental findings and compliance performance.

AII.17 The Clean Air Act, As Amended (42 U.S.C. 7401 et seq.)

The Grantee shall comply with the Clean Air Act, which prohibits (1) engaging in, (2) supporting in any way or providing financial assistance for, (3) licensing or permitting, or (4) approving any activity which does not conform to the state implementation plan for natural primary and secondary ambient air quality standards. The Grantee shall ensure that the facilities under its ownership, lease or supervision which shall be utilized in the accomplishment of the program are not listed on the U.S. Environmental Protection Agency's (EPA) list of Violating Facilities and that it will notify the Agency of the receipt of any communication from the Director of the EPA Office of Federal Activities indicating that a facility to be used in the project is under consideration for listing by EPA.

AII.18 HUD Environmental Criteria and Standards (24 CFR Part 51)

The Grantee shall comply with HUD noise abatement and control standards, which prohibit HUD support for most new construction of noise-sensitive uses on sites having unacceptable noise exposure. HUD assistance for the construction of new noise-sensitive uses is prohibited in general for projects with unacceptable noise exposures and is discouraged for projects with normally unacceptable noise exposure.

AII.19 Executive Order 11990, May 24, 1977: Protection of Wetlands (42 F.R. 26961 et seq.)

The Grantee shall comply with Executive Order 11990. The intent of this Executive Order is (1) to avoid, to the extent possible, adverse impacts associated with the destruction or modification of wetlands and (2) to avoid direct or indirect support of new construction in wetlands wherever there is a practical alternative.

The Grantee, to the extent permitted by law, must avoid undertaking or providing assistance for new construction located in wetlands unless (1) there is no practical alternative to such construction and (2) the proposed action includes all practical measures to minimize harm to wetlands, which may result from such use. In making this determination, the Grantee may take into account economic, environmental and other pertinent factors.

AII.20 The Wild and Scenic Rivers Act of 1968, As Amended (16 U.S.C. 1271 et seq.)

The Grantee shall comply with the Wild and Scenic Rivers Act. The purpose of this Act is to preserve selected rivers or sections of rivers in their free-flowing condition, to protect the water quality of such rivers and to fulfill other vital national conservation goals. Federal assistance by loan, grant, license, or other mechanism cannot be provided to water resources construction projects that would have a direct and adverse effect on any river included or designated for study or inclusion in the National Wild and Scenic River System.

AII.21 Executive Order 11988, May 24, 1977: Floodplain Management (42 F.R. 26951 et seq.)

The Grantee shall comply with the provisions of Executive Order 11988. The intent of this Executive Order is to (1) avoid, to the extent possible, adverse impacts associated with the occupancy and modification of floodplains and (2) avoid direct or indirect support of floodplain development wherever there is a practical alternative. If the Grantee proposes to conduct, support or allow an action to be located in a floodplain, the Grantee must consider alternatives to avoid adverse effects and incompatible involvement in the floodplain. If siting in a floodplain is the only practical alternative, the Grantee must, prior to taking any action, (1) design or modify its actions in

order to minimize any potential harm to the floodplain and (2) prepare and circulate a notice containing an explanation of why the action is proposed to be located in a floodplain.

AII.22 Coastal Zone Management Act of 1972, As Amended (16 U.S.C. 1451 et seq.)

The Grantee shall comply with the Coastal Zone Management Act of 1972, as amended. The intent of this is to preserve, protect, develop; and where possible, restore or enhance the resources of the nation's coastal zone. Federal agencies cannot approve assistance for proposed projects that are inconsistent with the state's Coastal Zone Management program except upon a finding by the U.S. Secretary of Commerce that such a project is consistent with the purpose of this chapter or necessary in the interests of national security.

AII.23 The Endangered Species Act of 1973, As Amended (16 U.S.C. 1531 et seq.)

The Grantee shall comply with the Endangered Species Act of 1973, as amended. The intent of this Act is to ensure that all federally assisted projects seek to preserve endangered or threatened species. Federally authorized and funded projects must not jeopardize the continued existence of endangered and threatened species or result in the destruction of or modification of habitat of such species which is determined by the U.S. Department of the Interior, after consultation with the State, to be critical.

AII.24 The Reservoir Salvage Act of 1960, As Amended by the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. 469 et seq.)

Under the Reservoir Salvage Act, the Grantee must comply with provisions for the preservation of historical and archaeological data (including relics and specimens) that might otherwise be irreparably lost or destroyed as a result of any alteration of the terrain caused as a result of any federal construction project or federally licensed activity or program. Whenever any federal agency finds, or is notified in writing by an appropriate historical or archaeological authority, that its activities in connection with any federal construction project or federally licensed project, activity or program may cause irreparable loss or destruction of significant scientific, prehistoric, historical or archaeological data, the federal agency must notify the U.S. Secretary of Interior in writing and provide appropriate information concerning the project or program activity.

AII.25 The Safe Drinking Water Act of 1974, As Amended (42 U.S.C. Section 201, 300(f) et seq., and U.S.C. Section 349)

The Grantee must comply with the Safe Drinking Water Act, as amended, which is intended to protect underground sources of water. No commitment for federal financial assistance, according to this Act, shall be entered into for any project which the U.S. Environmental Protection Agency determines may contaminate an aquifer that is the sole or principal drinking water source for an area.

AII.26 The Federal Water Pollution Control Act of 1972, As Amended, including the Clean Water Act of 1977, Public Law 92-212 (33 U.S.C. Section 1251 et seq.)

The Grantee must assure compliance with the Water Pollution Control Act, as amended, which provides for the restoration of chemical, physical and biological integrity of the nation's water.

AII.27 The Solid Waste Disposal Act, As Amended by the Resource Conservation and Recovery Act of 1976 (42 U.S.C. Section 6901 et seq.)

The Grantee must assure compliance with the Solid Waste Disposal Act, as amended. The purpose of this Act is to promote the protection of health and the environment and to conserve valuable material and energy resources.

AII.28 The Fish and Wildlife Coordination Act of 1958, As Amended (16 U.S.C. Section 661 et seq.)

The Grantee must assure compliance with the Fish and Wildlife Coordination Act, as amended. The Act assures that wildlife conservation receives equal consideration and is coordinated with other features of water resources development programs.

AII.29 The National Historic Preservation Act of 1966 (16 U.S.C. 470)

Prior to undertaking any activity under this contract, the Grantee shall evaluate the effects of the activity on any district, site, building structure and object listed in, or eligible for, the National Register of Historic Places; and shall give the Department's Office of Archaeology and Historical Preservation a reasonable opportunity to comment on the proposed activity.

AII.30 The Archaeological and Historical Data Preservation Act of 1974 (16 U.S.C. 469 a-1 et seq.)

The Grantee shall comply with the Archaeological and Historical Data Preservation Act, which provides for the preservation of historic and archaeological information that would be lost due to development and construction activities as a result of federally funded activities.

AII.31 Executive Order 11593, Protection and Enhancement of the Cultural Environment, May 13, 1971

The Grantee shall assure that plans for federally funded projects contribute to the preservation and enhancement of sites, structures and objects of historical, architectural or archaeological significance.

AII.32 Title II and III of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (42 U.S.C. 4630) as Amended in 1989

The Grantee shall comply with Sections 301 and 302 of Title III (Uniform Real Property Acquisition Policy) of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970, as amended in 1989, and will comply with Sections 303 and 304 of Title III, and HUD implementing instructions contained in 24 CFR Part 42. The Grantee shall inform affected persons of their rights and the acquisition policies and procedures set forth in the regulations of 24 CFR, Part 42 and 24 CFR 570.496(a). The Grantee shall comply with Title II (Uniform Relocation Assistance) of the Uniform Relocation Assistance and Real Property Acquisition Act of 1970, as amended in 1989, and HUD implementing regulations of 24 CFR Part 42 and 24 CFR 570.496(a) which requires the Grantee to certify that it is following a "residential anti-displacement and relocation assistance plan." The plan must contain two components--a requirement to replace all low- to moderate-income dwelling units that are demolished or converted to a use other than low- to moderate-income housing as a direct result of the use of CDBG assistance and a relocation assistance component. The grantee must provide relocation payments and offer relocation assistance as described in Section 205 of the Uniform Relocation Assistance Act to all persons displaced as a result of acquisition of real property for an activity assisted under the Community Development Block Grant program. Such payments and assistance shall be provided in a fair, consistent and equitable manner that ensures that the relocation process does not result in a different or separate treatment of such persons on account of race, color, religion, national origin, familial status, handicap, sex, or sources of income.

The Grantee shall assure that, within a reasonable period of time prior to displacement, decent, safe, and sanitary replacement dwellings will be available to all displaced families, individuals, businesses, nonprofit organizations, and farms and that the range of choices available to such persons will not vary on account their race, color, religion, national origin, familial status, handicap, sex, or source of income.

AII.33 Title IV of the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. 4831b)

The Grantee shall comply with the provisions of Title IV of the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. 4831b), which prohibits the use of lead-based paint in residential structures constructed or rehabilitated with federal assistance of any kind.

AII.34 U.S. Office of Management and Budget Circular A-87, Principles for Determining Costs Applicable to Grants and Contracts with State, Local and Federally Recognized Native American Tribal Governments

The Grantee shall comply with the guidelines of Federal Circular A-87, which sets forth principles and standards for determining the costs allowable under grants and contracts involving federal funds.

AII.35 Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments (24 CFR, Part 85)

The Grantee shall comply with the requirements of 24 CFR, Part 85, or any equivalent procedures and requirements that the state may prescribe. This forms the basis for a number of specific requirements on the financial management and record keeping of CDBG funds. Cash depositories, bonding and insurance, record keeping, program income, property management, procurement, closeout, audit and other requirements.

AII.36 Federal Audit Requirements (OMB Revised Circular A-133)

Grantees expending \$500,000 or more in federal funds from all sources, direct and indirect, are required to have an audit conducted in accordance with the Office of Management and Budget (OMB) Revised Circular A-133.

Grantees required to have an audit must ensure the audit is performed in accordance with Generally Accepted Auditing Standards (GAAS); Government Auditing Standards (the Revised Yellow Book) developed by the Comptroller General and the OMB Compliance Supplement.

The Grantee has the responsibility of notifying the State Auditor's Office and requesting an audit. Costs of the audit may be an allowable grant expenditure.

The Grantee shall maintain its records and accounts so as to facilitate the audit requirement and shall ensure that any subrecipients also maintain auditable records.

The Grantee is responsible for any audit exceptions incurred by its own organization or that of its subrecipients.

Responses to any unresolved management findings and disallowed or questioned costs shall be included with the audit report. The Grantee must respond to Department requests for information or corrective action concerning audit issues within 30 days of the date of request. The Department reserves the right to recover from the Grantee all disallowed costs resulting from the audit.

The Grantee must send a copy of the audit report no later than nine (9) months after the end of the Grantee's fiscal year(s) to:

Department of Community Trade and Economic Development
906 Columbia Street SW
PO Box 42525
Olympia WA 98504-2525
ATTN: Audit Review Office

In addition to sending a copy of the audit, the Grantee must include a corrective action plan for any audit findings and a copy of the management letter if one was received.

The Grantee shall include the above audit requirements in any subcontracts.

AII.37 Prevailing Wages on Public Works, Chapter 39.12 RCW

The Grantee shall comply with the provisions of Chapter 39.12 RCW, Prevailing Wages on Public Works. This statute mandates that the prevailing rate of wage, as determined by the state Department of Labor and Industries, be paid to workers performing under public works contracts.

AII.38 Relocation Assistance and Real Property Acquisition Policy, Chapter 8.26 RCW

The Grantee shall comply with the provisions of Chapter 8.26 RCW and Chapter 365-24 WAC when its activities involve any acquisition of real property assisted under this contract or the displacement of any family, individual, business, nonprofit organization or farm that results from such acquisition.

AII.39 State Environmental Policy Act (SEPA), Chapter 43.21(C) RCW

The Grantee shall comply with the provisions of Chapter 43.21(C) RCW and Chapter 197-11 WAC, the guidelines by which local agencies will (1) require environmental checklists from private and public entities considering an action potentially subject to the Environmental Impact Statement (EIS) requirement of SEPA, (2) make "threshold determinations" that such an action will not have a significant environmental impact, (3) provide for the preparation of a draft and final EIS if the action has significant impact, and (4) circulate the EIS to other agencies and interested parties.

AII.40 Noise Control, Chapter 70.107 RCW

The Grantee shall assure compliance with the state Noise Control Act. Objectives of the Act are to assist local governments in implementing local noise ordinances and to control and reduce excessive noise in Washington.

AII.41 Shoreline Management Act of 1971, Chapter 90.58 RCW

The Grantee shall comply with the provisions of Chapter 90.58 RCW. This Act defines a planning program and a permit system, which are initiated at the local government level under state guidance. Its purpose is to protect and enhance the state's shoreline and it includes a comprehensive shoreline inventory process and a master program for regulation of shoreline uses. A permit application at the local level must be in compliance with those plans and consistent with the state Coastal Zone Management program if substantial developments and shoreline modifications occur, and a record of the application and decision must be submitted to the state.

AII.42 State Building Code, Chapter 19.27 RCW; Energy Related Building Standards, Chapter 19.27A RCW; and Provisions in Buildings for Aged and Handicapped Persons, Chapter 70.92 RCW

The Grantee shall comply with the provisions of Chapter 19.27 RCW and Chapter 70.92 RCW and regulations for barrier free facilities adopted by the Washington State Building Code Council pursuant to these statutes.

The State Building Code Act provides for a uniform state building code and mandates counties, cities and towns to administer and enforce its provisions. Local governments are authorized to modify the state building code to fit local conditions as long as such modifications do not result in a code that is less than the minimum performance standards and objectives contained in the state code.

AII.43 Open Public Meetings Act, Chapter 42.30 RCW

The Grantee shall comply with the provisions of Chapter 42.30 RCW, which require that all meetings of the governing body which pertain to this contract shall be open to the public except those where specific provision is made for executive sessions pursuant to RCW 42.30.110.

AII.44 Law Against Discrimination, Chapter 49.60 RCW

The Grantee shall comply with the provisions of Chapter 49.60 RCW in all activities relating to this contract.

AII.45 Interlocal Cooperation Act, Chapter 39.34 RCW

The Interlocal Cooperation Act establishes as state policy the authority for local governments, including special purpose districts and Native American tribes, to enter into agreements for providing a broad spectrum of cooperative services. Local governments undertaking joint community development projects can use this Act as a means for establishing interlocal agreements.

AII.46 Governor's Executive Order 89-10, December 11, 1989: Protection of Wetlands, and Governor's Executive Order 90-04, April 21, 1990: Protection of Wetlands

The Grantee shall ensure that it avoids any activities that would adversely affect wetlands and adequately mitigates unavoidable impacts. For the purposes of this requirement mitigation means: (1) avoiding the impact altogether by not taking certain action or part of an action; (2) minimizing impacts by limiting the degree or magnitude of the action and its implementation, by using appropriate technology, or by taking affirmative steps to avoid or reduce impacts; (3) rectifying the impact by repairing, rehabilitating, or restoring the affected environment; (4) reducing or eliminating the impact over time by preservation and maintenance operations during the life of the action; (5) compensating for the impact by replacing, enhancing, or providing substitute resources or environments; and (6) monitoring the impact and taking appropriate corrective measures.

Mitigation for individual actions may include a combination of the above measures.

Emergency work that is essential to save lives and protect property and public health is exempt from these provisions.

AII.47 24 CFR Part 24 Debarment and Suspension (Nonprocurement)

When entering into a covered transaction with another person at the next lower tier, the grantee must verify that the person with whom the grantee intends to do business is not excluded or disqualified.

AII.48 Farmland Protection Policy Act of 1981 (7 U.S.C. 4201 et seq. and 7 CFR Part 658)

The Grantee shall comply with the Farmland Protection Policy Act, which discourages Federal activities that would convert farmland to nonagricultural purposes. Check with the USDA Natural Resources Conservation Service (NRCS) or with your city or county planning department to determine if your site is on farmland regulated under the act. Farmland regulated under the Act includes prime farmland, unique farmland and land of statewide or local importance. Farmland subject to FPPA requirements does not have to be currently used for cropland. It can be forestland, pastureland, cropland or other land, but not water or urban built-up land.

AII.49 Environmental Justice (Executive Order 12898)

The Grantee shall comply with Executive Order 12898, which directs each Federal agency to make achieving environmental justice part of its mission by "identifying and addressing as appropriate disproportionately high and adverse human health or environmental effects of its programs, policies, and activities on minority populations and low-income populations".

All.50 Explosive and Flammable Operations (Sec. 2 of Housing and Urban Development Act of 1969 (42 U.S.C. 1441(a) and 24 CFR Part 51 C)

The Grantee shall comply with Section 2 of the Housing and Urban Development Act by determining whether the project includes development, construction or rehabilitation or modernization of a building that either increases residential densities, converts a building for habitation or makes a vacant building habitable. If the project includes such activities, the project must be located at an Acceptable Separation Distance (ASD) from any above-ground explosive or flammable fuels or chemical containers.

All.51 Airport Clear Zones and Accident Potential Zones (Section 2 of the Housing Act of 1949 as amended, 42 U.S.C. 1331, affirmed by Section 2 of the Housing and Urban Development Act of 1969m P.L. No 90-448; Section 7(d) of the Dept HUD Act of 1965, 42 U.S.C. 3535(d) and 24 CFR Part 51 D and 32 CFR Part 256.)

The Grantee shall comply with Section 2 of the Housing Act of 1949 and subsequent laws in order to promote compatible land uses around civil airports and military airfields. Determine if the project is located within 3,000 feet of the runway at a civil airport or within 2.7 miles of the runway of a military airfield and if so, contact the airport operator and obtain written documentation of the Clear Zone and Accident Potential Zones and a determination if your project is in the CZ or APZ.

All.52 Toxic Chemicals and Radioactive Materials (Comprehensive Environmental Response, Compensation, and Liability Act of 1980 as amended by Superfund Amendments and Reauthorization Act and 24 CFR 58.5(i))

The Grantee shall comply with and assure that all property proposed for use in HUD programs must be free of hazardous materials, contamination, toxic chemicals and gasses and radioactive substances, where a hazard could affect the health and safety of occupants or conflict with the intended utilization of the property.